

**USAID/Colombia**  
**Results Review and Resource Request, R4**  
**FY 2000**

**Note:**

Non-text files (e.g., spreadsheets, charts, maps, etc.)  
have been appended at the end of the document

# **RESULTS REVIEW AND RESOURCE REQUEST - FY 1997- FY 2000**

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## ACRONYMS

<b>ADR</b>	Alternative Dispute Resolution
<b>ADS</b>	Automated Directive System
<b>AOJ</b>	Administration of Justice
<b>ARA</b>	Bureau of Interamerican Affairs (State)
<b>CIAT</b>	International Center for Tropical Agriculture
<b>CTI</b>	Fiscalia's Technical Corps of Investigation
<b>DAC</b>	Development Assistance Committee
<b>DAEC</b>	Development Assistance Executive Committee
<b>DAS</b>	Department of Administrative Security (roughly equivalent to FBI)
<b>DIJIN</b>	The National Judicial Police Directorate (component of Colombian National Police)
<b>DNP</b>	National Planning Department
<b>DOJ</b>	Department of Justice
<b>EAI</b>	Enterprise for the Americas Initiative
<b>FSN</b>	Foreign Service National
<b>FTE</b>	Full Time Employee
<b>GOC</b>	Government of Colombia
<b>ICITAP</b>	International Criminal Investigative Training Assistance Program
<b>IDB</b>	Interamerican Development Bank
<b>INL</b>	Bureau of International Narcotics and Law Enforcement, State Department
<b>IR</b>	Intermediate Result
<b>JSRP</b>	Justice Sector Reform Project
<b>LAC</b>	Latin America and Caribbean Bureau AID
<b>MOJ</b>	Ministry of Justice
<b>MPP</b>	Mission Performance Plan
<b>MSD</b>	Management Sciences for Development
<b>NGO</b>	Non Governmental Organizations
<b>NJPC</b>	National Council of Judicial Police
<b>OECD</b>	Organization for Economic Co-operation and Development
<b>OPDAT</b>	Office of Overseas Prosecutorial Development and Training
<b>PDO</b>	Public Defender's Office
<b>PHN</b>	Population, Health and Nutrition
<b>PGO</b>	Prosecutor General's Office
<b>PROFAMILIA</b>	Population and Family Planning Organization
<b>RF</b>	Results Framework
<b>SJC</b>	Superior Judicial Council
<b>TNC</b>	The National Conservancy
<b>USG</b>	United States Government
<b>WWF</b>	World Wildlife Fund

## **PART I. OVERVIEW AND FACTORS AFFECTING PROGRAM PERFORMANCE**

The USAID/Colombia Justice Sector Reform Project Paper approved in 1992 expressed optimistic expectations for Colombia's progress in democratic consolidation at the outset of the major investment made here since then. Despite the turbulent and unsettled recent history, Colombia has made significant structural advances, and USAID has played an important supporting role. But much still remains to be done before USAID/Colombia can consider that it is adequately supporting key U.S. foreign policy interests and USAID/Washington goals in Colombia. The key foreign policy interests themselves are now under current intense interagency scrutiny and high level review in Washington.

The deterioration in overall USG-GOC relations continued through 1997, caused by successive U.S. decertifications and withdrawal of U.S. visas for a considerable number of prominent Colombians, including the President. The difficult bilateral atmosphere, plus the continued widespread insurgency, whose guerrilla protagonists exercise progressively firmer sovereignty over vast geographic areas, and the unprecedented levels of public corruption have restricted the ability of USAID and its Colombian partners to move forward the USAID Strategic Objective in justice and Special Objective in the environment.

Nevertheless, in the last few months, the atmosphere has begun to change markedly, beginning with the national interest waiver of Colombia's decertification - contributing to a much improved institutional climate for our justice sector work, by the growing initiatives to foster peace discussions, and even by new GOC responsiveness to our initiatives to restructure and revitalize the administration of the \$50 million dollar U.S. - Colombia Environment Fund.

While the political atmosphere remains uncertain and highly charged, prospects seem greatly improved for further positive change after Colombia's imminent Presidential elections - expected to draw a record first round voter turnout on May 31. The 1998-2002 presidential term here will encompass unusually difficult and dangerous economic and political challenges to its new leaders, who must redefine and restructure Colombia's future as a democratic nation, in the face of a state and government far weaker, and a population far more divided and pessimistic than ever before. The four hard years of the Samper government have left the country in far worse economic condition, and its democratic institutions - the longest continuously functioning in South America - in serious danger.

In light of the current changing circumstances, the Embassy Bogota Country Team fully supports this Mission's firm belief that the present USAID/Washington plan to close the USAID/Colombia Mission by September 30, 1999 is certainly premature and probably now ill-founded. As is made clear in the Mission Performance Plan (MPP), continued and perhaps intensified USAID/Colombia involvement is critical to meeting the Country Team's overriding goals in Counter-Narcotics, Human Rights, and the preservation of Democracy, as well as in important aspects of the Country Team's Economic Reform goal.

USAID/Colombia's Justice Sector Strategic Objective directly supports the USG's central foreign policy concern in Colombia, counter-narcotics, and its Environment Special Objective directly supports that major global foreign policy concern. Our Strategic Objective and Special Objective support several of the sixteen State Department strategies to carry out the seven U.S. national interests, i.e. Minimize the impact of international crime, Reduce the levels of illegal drugs entering into the United States, Reduce international terrorist attacks, Adherence to democratic practices and respect for human rights, Secure a sustainable global environment. Should USAID/Colombia support additional efforts to a meaningful peace process and to assist those displaced by Colombia's violence it would mean that more USG strategies would be supported, i.e. Minimize the human costs of conflict and natural disasters and Protect Human health and reduce spread of infectious diseases.

The need to revisit the decision to close USAID/Colombia - now slated for less than fifteen months from this R4 review - is evident upon considering:

**A. Revitalizing program developments are reversing stalled progress.**

New agreements have been put in place and new closer working ties have been established with key justice sector officials to amplify the Program scope and move forward with improvements in the effectiveness of Colombian Justice System. After an initial six month stalemate, the GOC has agreed to our initiative to renegotiate the Americas Fund Framework Agreement to finally install serious and efficient mechanisms for managing this program - now surpassing \$50 million. The Fund will continue to grow until at least 2002, with the last 30 percent of the GOC deposits still to accrue. Thus, the success of this incipient restructuring inevitably involves U.S. political prestige as well as the prospect of the creation of an effective instrument for solid long term support for environment and child survival programs in Colombia.

**B. Broad ranging political developments affecting U.S. foreign policy interests and USAID goals.**

Beginning with the massive vote (9,000,000 plus) in favor of a peace process ballot (Mandato para la Paz) that accompanied last October's legislative and municipal elections, new efforts, both public and private, have proliferated, seeking to create the preconditions for a negotiated settlement to Colombia's endemic insurgencies and reverse increasing national fragmentation. Internally displaced persons, fleeing or expelled by the conflicts of guerillas, army and paramilitaries, are estimated at from several hundred thousand to over a million persons, and have become a significant social and humanitarian problem. Should the war intensify, as many policy thinkers believe it must before adequate conditions for a negotiated peace are created, this painful problem - inadequately addressed now - would worsen. Finally, a new less charged atmosphere has been fostered by the USG's recently announced decision that Colombia's collaboration in the drug war merited a national interest waiver of decertification.

**C. Impending installation of a new Colombian administration.**

After years of extremely strained and often acrimonious U.S. - Colombian relations brought on by extensive drug money involvement in financing the 1994 Samper campaign, there is

finally the prospect of new opportunities for fruitful collaboration with a newly elected President and Congress. Whatever the makeup of the new GOC which will take office in August, 1998, it will take several months for the new group of ministers and administrators to shake out their main policies and begin to put them into practice. As soon as practicable, USAID/Colombia will be visiting new officials, explaining prior mutual commitments, and seeking to reaffirm or to modify these according to the desires of the new administration. If the present close out plan remains unaltered, by the time we were able to reconfirm the directions of the USAID program, we would have only a few months left, in which meaningful additional progress towards results would be increasingly overtaken by shutdown preparations.

Therefore, though this R-4 is accompanied by the USAID/W-mandated Closeout Plan for an orderly exit by September 30, 1999, it also presents an alternative - the outline for a more adequate response to U.S. foreign policy interests and USAID goals in the democracy and environment areas to be discussed with our new Colombian partners and customers once they take office in August.

For both the Strategic Objective (Justice) and for the Special Objective (Environment), the Mission also proposes completely reworked Intermediate Results and Performance Indicators. The revamping is based on USAID/Colombia's critical assessment of the program in light of problems identified over the last several years and detailed in last year's R-4 Review and the ensuing Management Contract. The appropriateness of the changes we recommend in Part II as a result of that critical review is reinforced by the initial findings of the Regional Inspector General's January 1998 "Audit of the Reliability of Results Reported for Fiscal Year 1996." performed at USAID/Colombia between the 19 to the 30 of January, 1998.

Should USAID/W agree, after the DAEC review of this R-4, we propose USAID/Colombia be authorized to:

- A. Discuss the elements of the plan, projected results, and indicators in this R-4 with the new Colombian authorities during the first quarter of FY 99 (September - November 1998);
- B. Develop a new Strategic Plan based on those discussions that would be presented for USAID/Washington consideration early in 1999; and
- C. Monitor evolution of efforts to support a peace process, attend to the needs of the displaced, and assist the new legislature to explore corruption concerns with the possibility of proposing additional intermediate results in the current Strategic Objective or a potential new Special Objective in Peace Process, should developments by the end of 1998 confirm that these areas sufficiently involve U.S. foreign policy interests and USAID goals to merit a continued and enhanced USAID/Colombia presence in order to obtain positive results.



The eventual new Strategic Plan (prepared in accordance with ADS 201.5.5d.4) would cover the period of the constitutional mandate of the new Colombian Administration and Congress, plus the first year of the following one (i.e., to September 30, 2003). That period would coincide with:

- A. The time needed to complete the critical results we believe are necessary and possible in the justice area;
- B. The period for completion of the GOC's deposit of the last \$12 million under a rewritten EAI Environment and Child Survival Fund Agreement (2002); and,
- C. The timeframe needed to structure and implement appropriate USAID accompanying support for a peace process, should a serious process develop and gather momentum.

Additionally, any premature announcement of USAID definitive withdrawal from Colombia, after more than 35 years, could risk sending unintended "signals" regarding U.S. confidence in the next Colombian administration just at a time when the Ambassador and the Country Team are striving to project positive messages of continued U.S. appreciation and support for our long bilateral relations.

Nevertheless, during the proposed consultation and the production of the Strategic Plan, USAID/Colombia would undertake no activities which could not produce significant results and still be curtailed by September 30, 1999 (although the new Justice Results Framework is designed to achieve further specific results progressively, should those activities continue). Consequently, unless and until USAID/W either again extends the Mission's presence based on actual conditions, or does so later based on the approval of the new Strategic Plan, USAID/Colombia would abide by the ground rules established in last year's Management Contract:

- focus on those activities which we believe will show significant results;
- can be completed by the end of FY 1999; and
- which sustain efforts already undertaken.

The current Plan (approved in 1992) calls for pursuit of two Strategic Objectives and activities: Improve the effectiveness of the justice system; and Support the economic liberalization and growth policies of the Government of Colombia; and "Special Objectives" in two additional areas (health and population supported by USAID/W and the environment). The Strategic objective to support the economic liberalization and growth policies and the special objectives of health and population came to a successful conclusion.

USAID/Colombia understands that the Global and LAC Bureaus plan to take advantage of the \$50 million invested by USAID in population programs in Colombia over 30 years, as well as

the \$75 million invested by other donors, by using Colombia's premier Population NGO, PROFAMILIA, as a resource for other USAID-supported population programs around the region and around the world. This also is a recommendation of the POPTECH financed report carried out as recommended in the Management Contract (paragraph 8.F. of 97 State 70883). USAID/Colombia wholeheartedly supports such an initiative. However, PROFAMILIA should not be expected to use its resources to provide the logistic support needed for that collaboration, Global and/or LAC would have to provide the FTE and budget needed.

1997 was a transitional year for USAID/Colombia's Program, as important steps were taken to resolve concerns with the adequacy of indicators and performance under both the Democracy Strategic Objective and the Environment Special Objective as discussed at last year's R4 Review. An indication of the prudent management of resources as issues were addressed is the 31 percent decline in program expenditures in FY 1997 compared to FY 1996.

Despite the mitigating circumstances outlined below, and the recent progress in the improvement of U.S.- Colombia relations after the national interest waiver for Colombia under the narcotics certification process after two years of unqualified decertification, our self-appraisal concludes that overall USAID/Colombia progress has failed to meet expectations.

Another complicating factor was the large turnover of GOC top-level personnel during 1997, which directly affected our ability to move forward with the approved program. The following members of the Justice Sector Reform Committee (responsible for coordinating, orienting, and providing guidelines for the justice program) changed in 1997: Director of the National Planning Department (DNP); Prosecutor General; Attorney General; Minister of Justice; and Director of Administrative Security (DAS, roughly equivalent to the FBI) and immediate staff of them. Other key contacts in the justice sector who changed in 1997 were: Director of DNP's International Cooperation Department; Deputy Prosecutor General; Vice Minister of Justice and the Mayor of Bogota.

The Environment Special Objective also was affected when the Minister of the Environment and his immediate staff were replaced in 1997, as well as by the change of the Director of the National Planning Department, mentioned above, who is the GOC's official representative to Colombia's EAI Council.

An earlier impasse between the GOC and DOJ's OPDAT representative which lasted for all of FY 1997 was also an important factor in delaying anticipated progress. See below.

### **Democracy:**

On the eve of its eleventh consecutive democratic election for President, Colombia has the

longest history of democratic government in South America. The permanence of democracy, however, is put into question by the continued internal divisions and high levels of violence. Of utmost concern is the control exercised over vast geographical areas by guerrillas. These often recruit members at gunpoint and their control is so complete that local farmers and business people must receive safe passage documents from the guerrillas and pay them "tolls" to have access to their farms or businesses or to move their produce. Paramilitary groups organized in reaction to this extortion, target civilians suspected of collaborating with the guerrillas, and the interrelationship between those guerrillas and paramilitary groups and the powerful, ruthless narcotraffickers dwarf the ability and political will of democratic leaders to control -- much less stamp out -- this triple threat to democracy without prompting intolerable levels of urban violence. Despite concern of a repeat of the 1994 experience which saw allegations that the winning Presidential campaign took \$6 million from the Cali Cartel (Congress eventually "exonerated" the President) and the jailing of 14 legislators for taking drug cartel money, there have been a minimum of such accusations in relation to the local and national elections of 1997 and 1998.

#### **Justice:**

- The new Prosecutor General took office in July of 1997. While expressing a keen desire to continue to receive USAID assistance he initially put most projects on standby while he and other new PGO officials tried to define their overall goals and plans for the next four years.

Specifically, the Information System, involving a USAID/PGO joint investment of 10 million dollars, has been under scrutiny and the USAID technical assistance offer to help institutionalize and extend the program is still pending. The PGO has accepted a USAID suggestion of a technical review and planning exercise to resolve design, procurement and institutional issues and move the project forward and link it to the IDB 5.4 million dollar follow-up offer to extend the Information System to other major cities in Colombia.

As for plans for nationwide replication the Special Prosecutorial Units organized with DOJ/OPDAT and ICITAP help, the PGO has decided to limit their extension for the time being to major crime areas, such as money laundering and asset forfeiture, which represents perhaps a more efficient use of PGO resources than the originally planned extension to all categories of felonies and to all existing units nationwide. Nevertheless, while the Units themselves will not be extensively replicated, the innovations developed in the pilot units will be made official PGO policy by the development and publication of a Prosecutor Manual with USAID/OPDAT assistance.

- The absorption of the Minister of Justice in the conflictive legislative issues such as extradition, increase of penalties for drug related crimes, and asset forfeiture, impeded progress on USAID projects such as civil society and NGO participation in justice issues. Nevertheless, USAID staff assigned to the Ministry was able to maintain

interest and activities in the Houses of Justice program resulting in five new Houses opened during the year.

- The previous reluctance of the Superior Judicial Council to become involved in the projects being developed under the JSRP has now been completely overcome by the acceptance of the Council of USAID assistance in the restructuring of the Judicial School and the development of a practically oriented judicial training program.
- The early departure of the former OPDAT representative in June of 1997 halted the advancement of the prosecutor assistance program, already seriously retarded. The arrival of a new permanent OPDAT resident representative in November 1997 has resulted in the reestablishment of good working relationships between USAID, OPDAT, ICITAP and the PGO opening the way for excellent progress in this area in 1998.
- The certification of Colombia for national security reasons has created an entirely new and positive environment for USAID led justice assistance, which is now looked on with optimism and enthusiasm both within the U.S. Mission and by Colombian counterparts.

#### **Environment:**

Colombia is an extraordinarily important country for the protection of the global environment. Its position, between two oceans, at the north end of the Andes Mountain chain, and at South America's juncture with the Isthmus of Panama, gives Colombia one of the highest degrees of biological diversity on the planet, comparable to that of Mexico and Brazil. More than 15 percent of all known tree species, for example, and more than 10 percent of all known species of plants and animals, occur in Colombia. The World Bank classifies over half of Colombia's vegetation in its highest categories of importance, "Outstanding at the Global Level" and of "Maximum Regional Priority for Conservation." Likewise, USAID classifies most of Colombia as either "Regionally Outstanding" or "Regionally Significant."

For nearly five years, USAID/Colombia's primary focus in this field has been in trying to assist Corporacion Ecofondo, the GOC - created NGO holding the sole administrative responsibility to channel Colombia's Enterprise for the Americas Initiative (EAI) environmental trust fund ("Americas Fund" or "Fund") to support other Colombian NGOs' eligible development projects. The funds invested came not only from authorized Fund administrative allowances, but from additional USAID/W Development Assistance (DA) grants and PD&S Local Currency Trust Fund co-financed activities, all aimed at developing an accountable and sustainable system to administer the multimillion dollar Americas Fund established under the EAI in 1993. In October 1997, an impasse was reached over production of a strategic plan, financial self-sufficiency plan, and project management policies, that led to an ECOFONDO financial and management crisis. As a result, the

USAID Representative, as the official USG representative on Colombia's EAI Council, has proposed, and the GOC has agreed, to negotiate a new bilateral agreement and new administrative arrangements for the Fund, which has grown to over USD \$50 million, with the last \$12 million in GOC payments still to be completed before 2002. It is doubtful that new agreements can, or should, be reached on these matters before the new GOC administration takes office in August, but progress will be made in the meantime..

## **PART II. PROGRESS TOWARD OBJECTIVES**

**Overview:** In the April 1997 review of the last Colombia R-4, while reaffirming the Strategic Objective of the Mission's Justice Sector Reform Program (JSRP), the DAEC also determined the need for significant program alterations and recommended that all modifications made be incorporated into a new Results Framework (RF) and Results Package, to insure that:

1. All activities continued or undertaken would have achievable results within the two year time frame leading to the September 1999 close out;
2. Specialized training would be provided for public defenders and judges separate from and in addition to the minimal DOJ/OPDAT provided training, agreed to have been insufficient.

As a result of the DAEC recommendations, and in the context of the JSRP's subsequently ruptured relations with the Prosecutor General's Office, with the arrival of the new USAID Representative in August of 1997, a complete program reassessment was undertaken, ending in November of 1997. An unrelated but useful RIG program audit followed in January of 1998. Conclusions from both studies indicate:

1. Important progress had been achieved by DOJ/OPDAT and DOJ/ICITAP in improving the investigative and prosecutorial capacity of the prosecutors and judicial police investigators.
2. The indicators were far too numerous, could not be supported by reliable data, and were not framed to reflect adequately those and other program accomplishments.
3. Some activities - relating especially to the prosecutor program, to an overly ambitious proposed shared information system platform, and to university law faculty reforms - would neither reach the targets established nor produce significant results before the anticipated September 1999 Close-out.
4. The specialized training for judges and defenders mandated in the Management Contract was indeed necessary to establish balance and completeness to the program

and that significant results in this area could be achieved by close-out.

5. A new Results Framework and a new set of Intermediate Results and a new set of Indicators were required to incorporate these conclusions and the program redesign necessary to implement them.

Accordingly, the RF has been restructured and appears on page 23.

We here insert the requested Summary Performance Table. Thereafter follows a brief description of several elements of significant progress which is not reflected in the prior indicators. Next, a review and analysis of the previous indicators is presented, with an explanation of why the indicator is or is not used in the restructured Results Framework. The new RF is then presented and explained. Finally, new performance data tables are presented with the new or revised indicators which were framed taking into account the results both of the program assessment and the RIG results reliability audit.

**SUMMARY PERFORMANCE TABLE  
USAID/COLOMBIA**

Objective	Rating	Evaluation findings
<b>SO 1:</b> Improve the effectiveness of the Colombian Criminal Justice System.	Fell short of expectations as stated in previous R-4 indicators.	A program assessment carried out from August to November, 1997, concluded that the program was making important progress in improving investigative capacity both in the police and prosecutor sectors, but that the indicators had not been appropriately framed to reflect those results. Consequently, the results framework and indicators were reformulated to: 1) express clearly the results achievable within a 2 yr. period till closeout (and beyond, should the program be extended), and 2) comply with the commitments made in the Management Contract, i.e. specialized training for judges and prosecutors and increased civil society participation. (see Assessment Summary, annex C)
Percent funding through NGOs	No JSRP activities were funded through NGOs in reporting period.	
<b>SpO 1:</b> Improve management of environmental endowments and other natural resources funding mechanisms to ensure long-term, sustainable financing.	Fell far short of expectations	An October 1997 financial and administrative analysis confirmed the NGO charged with management of the principal activity under this SpO (the Americas Fund) had chronic organizational problems (e.g., complex and inefficient administrative practices, by-laws not fully approved, and no operational manual); confusion regarding services to be provided and the real costs of those services; and an endangered institutional capacity due to the complete turn-over of its officers as well as a significant budget deficit.
Percent funding through NGOs	The USAID/Colombia Representative is the USG member on Colombia's Council implementing the Americas Fund established under the EAI. All project resources are managed by NGOs. The following provides the number of projects approved by the Council and their dollar equivalent in \$ thousands: FY 97- 38/\$809; FY 98 40/\$3,500; FY 99 60/\$6,000; FY 00 60/\$6,000; FY01 40/\$6,000; FY02 30/\$6,000; FY03 30 /\$6,000	

## **A.STRATEGIC OBJECTIVE 1: Improve the effectiveness of the Colombian Criminal Justice System.**

### **1.Performance Analysis**

#### **Overview:**

Despite the setbacks signaled above at pages 4 to 10, significant progress was made during FY 1997 in the areas of judicial police training through ICITAP assistance, and in access creation through the expansion of the USAID-Justice Ministry “Casas de Justicia” Program.

The ICITAP- led judicial police training program concentrated its efforts on emphasizing true investigative training over narrow “criminalistic” training, laying the basis for a unified basic investigative training program for all new judicial police recruits. Modules on such skills as interviewing techniques, surveillance, intelligence and information gathering were introduced and perfected. The institutionalization of this program ( official adoption by the three main judicial police institutions) will be the central focus of ICITAP efforts in 1998-1999 in the JSRP content, with funding of \$2 million through the State ARA Regional ICITAP Program.

Significant progress in access creation was achieved in 1997 with the creation of five new integrated justice service centers, called Houses of Justice, with the total number of users served growing from 18,000 to 64,000 persons. There are now seven Houses of Justice and the Ministry of Justice (MOJ) continues to receive requests from municipalities to open new houses in their localities, and plans to open 30 more.

In the public prosecutors program, progress in the extension of the Special Unit model, based on the U.S. DOJ Joint Task Force concept, was halted due to a disruptive change in the OPDAT management, and internal disagreements in the Prosecutor General's Office. After a review, the PGO decided to continue the Special Units on a more limited and focused basis in 1998-9. Meanwhile, training to local prosecutors was continued through the National Training Plan and improved procedures for monitoring and verification of the training multiplier system were introduced. The innovative investigative techniques developed in the Special Units will be consolidated and made official policy through the publication of a Prosecutors' Manual with OPDAT assistance in 1999. These activities will be carried out with \$1.8 million in funding for USAID JSRP through State INL.

The Prosecutor Information System, a major JSRP element scheduled to be installed in all units in Bogota and Medellin, was put on hold last July by the new Prosecutor General, and languished in uncertainty for several months. At USAID insistence, the PG recently directed a responsible reassessment, and agreement has been reached between USAID and the PGO to perform a technical review and evaluation to determine feasibility of the system's progressive extension nationwide and to assist the PGO Information Department to develop an implementation plan.



USAID also took direct control of the long-stalled training for public defenders begun under the OPDAT-designed program and completed the sixth and seventh of the eight modules originally programmed. The eighth module will soon be completed before the new USAID led program to restructure the Public Defender Office, now in design, begins in the third quarter of 1998.

While some limited judges training was provided in 1997, as an adjunct to the OPDAT prosecutor training program, reaching some local judges, the program assessment revealed serious deficiencies. These are now being addressed through USAID's direct approach to Superior Judicial Council, which has adopted a USAID proposal to restructure and reorganize the Judicial School and to provide both specialized and joint training for judges.

Finally, the first quarter of FY98 also saw a concentrated USAID effort to gather and evaluate NGO proposals to include civil society more actively in justice issues, with the selection and funding of three of the 14 candidate proposals in the second quarter of FY98, in accordance with the Management Contract.

The program assessments leading to the revised Results Framework and indicators were also begun in the last quarter of FY97 and first quarter of FY98, first with USAID, DOJ and DOS staff, complemented by more extensive review by international experts in the first quarter of FY98.

On March 24, 1998 USAID and the PGO signed a new framework for USAID-OPDAT-ICITAP cooperation under JSRP. This new agreement embodies the significant progress made in restoring mutual trust and focusing on specific results attainable by the fourth quarter of FY99, such as the production of a Prosecutors' Manual making the procedures of the Special Units official PGO policy, specialized training for the Human Rights, Anti-Corruption and Money Laundering and Asset Forfeiture Special Prosecution Units, and continued joint training of prosecutors, judges and public defenders and the installation of the unified police investigative curriculum. Further specific operating agreements are being drafted to reflect USAID/Colombia consensus with the Superior Judicial Council concerning the Judicial School restructuring and a new judicial training program, as well as with the Public Defenders Office for institutional strengthening and the development of a specialized training program.

Finally, the Mission's thorough restructuring of the JSRP is now reflected in the revision of the Results Framework, the Strategic Objective, and the Intermediate Results, and the correspondence between the restructured program, the projected results and the Indicators established to measure them.

## **Results Framework Review**

The 1997 Results Framework had a single Strategic Objective and five Intermediate Results. There were three indicators defined for the Strategic Objective, two indicators for each one of

the Intermediate Results 1, 2, 3, and 5, and there were seven indicators for Intermediate Result 4, for grand total of 18 indicators.<sup>1</sup>

The indicators themselves had been defined in 1993 by an external consultant based on assumptions about the data gathering capacity of recently created counterparts that time has shown to be wildly optimistic. At that time it was also difficult to anticipate or to appraise the importance of the eventual differences in interpretation of the newly created Criminal Procedures Code among justice sector actors - a factor that would come to seriously affect the feasibility of program goals and objectives. A 1995 external evaluation seriously questioned the indicators and recommended their revision.

On the basis of this past practical experience and a “reality check,” via the recent program assessment, the new Results Framework was simplified and adjusted to results attainable within the time frames indicated. The same JSRP Strategic Objective, slightly rephrased, is retained, with two Primary Intermediate Results and three Secondary Intermediate Results corresponding to each Primary IR. The Strategic Objective and each Intermediate Result have one Indicator with the exception of Intermediate Result number two, which has two Indicators.

Following is brief description of the previous indicators and the reasons for either retaining or discarding them.

**STRATEGIC OBJECTIVE:** *Improve the effectiveness of the Colombian Justice System with an emphasis on the criminal branch, particularly the Regional and other selected Prosecutorial Units and Criminal Courts. (\*)*<sup>2</sup>

The new results framework has the same Strategic Objective, slightly rephrased to refer to the criminal justice system in general, instead of the Regional and other selected prosecutorial units and criminal courts in particular.

**INDICATOR 1:** *Percentage of court findings on crimes investigated plus confirmation of findings by a higher court if appeals or reviews were made, resulting from the preliminary investigations of such crimes in a given year. (\*)*

The syntax of this Indicator shares near-incomprehensibility with several others now discarded.

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<sup>1</sup>The indicators for this Program were developed by an external consultant in 1993. Recommendations were given at the R4 review last year regarding the necessity to review this set of indicators to assure their correspondence with the Program objectives and strategies. As a result of the Program evaluation carried out from

August to November of 1997 USAID staff with the assistance of external consultants developed the new framework and indicators which are presented in this document.

<sup>2</sup> For convenience all discarded or modified objectives or indicators are marked with an asterisk. (\*)

What it sought to measure was the percentage of investigations resolved by comparing the number of cases entered into the criminal system with the number of cases resolved by the criminal courts.

This Indicator has been dropped for two reasons: first, the data for this Indicator are found in two different and non-integrated information systems belonging respectively to the PGO and the Judicial Council. The two sets of data are not regularly consolidated, but need a special study to do so, which is carried out only sporadically. Unless the two systems were integrated, it is impractical to compile the data for this Indicator. Second, and more importantly, there is no direct relationship between any actions carried out by the JSRP and any result that would be reflected by the Indicator. A decrease or increase in the ratio of cases completed at the trial level and cases entered into the system would be the result of a variety of conditions upon which the program has no actual or intended effects.

For example, according to a study carried out by the SJC, between 1994 and 1997 the demand on the criminal justice system increased by 60%, from 266,789 to 452,952 new cases, resulting in higher backlogs at the judicial level and a decreased ratio of sentences to investigations. These results were produced by different conditions such as: the increase of violence and crimes, normal population growth, legislative reforms reassigning to the courts minor cases formerly handled by other entities, (i.e. police inspections), and many other factors.

**INDICATOR 2:** *Length of time for a criminal case to be completed, from the opening of the preliminary investigation to the court finding. (\*)*

This Indicator is intended to track the average elapsed time for a criminal case to be resolved, starting at the preliminary stage up to the court decision.

The same data gathering problems exist for this indicator as for the previous one. Information provided in previous years was based on specific studies carried out by the Superior Judicial Council, but again, those studies are done on an irregular basis. Repeated USAID efforts to convince the Superior Judicial Council to take measures to improve this information gap were never successful. And again, no JSRP actions were contributing to the result to be measured.

*A suggestive proxy does exist, however, as a result of a special study carried out with USAID support to follow up the Special Units. Data regarding length of time of the entire criminal process are available for the Special Unit of Sogamoso, a small town of 150.000, located four hours from Bogota. The study shows that there the duration of the entire process was reduced dramatically from an average 453 to 97 days. Unfortunately, the Sogamoso Unit was atypical, being relatively efficient even before the creation of a pilot unit, as indicated by the fact that the average time nationally to complete a criminal case is 780 days (special study carried out by the SJC with the National University of Colombia.)*

**INDICATOR 3:** *Improved public perception of effectiveness of and accessibility to the criminal justice system. (\*)*

The new RF has a similar Indicator at the Strategic Objective level which measures not public opinion, but rather the perception of justice officials concerning the effectiveness of the system. The Indicator was changed because after USAID carried out a national survey with this purpose, it was realized that public perception is very unstable and depends on many circumstantial events, which in no way reflect the profound changes and efforts developed by the JSRP and by other related projects.

To get at public opinion, USAID decided that instead of carrying out the surveys itself, it is more cost effective and sustainable to add USAID concerns to broader surveys already being carried out by other institutions. To that end USAID is funding an NGO, Corporacion Excelencia en la Justicia, to design the inclusion of appropriate questions in existing surveys.

**INTERMEDIATE RESULT 1:** *Improved operation of the investigative function. (\*)*

**INDICATOR 1:** *Percentage of investigative findings resulting from the preliminary investigations of such crimes in the Regional and other selected prosecutorial units. (\*)*

The Indicator aims to measure the efficiency of the preliminary stage of investigation by comparing the number of cases entering the system to the number of cases resolved, either by passing from preliminary to formal investigation or by closure of the case.

Results are mixed for this Indicator. While percentage of cases resolved at the preliminary stage of investigation for regional units increased from 26% to 32%, and for district or sectional units rose slightly from 35% to 36%, local units declined from 58% to 43%.

In absolute terms the total number of cases resolved was as follows:

5,377 in 1996 to 8,768 in 1997 for the Regional units,  
88,840 in 1996 to 109,436 in 1997 for the Sectional/District units,  
195,654 in 1996 to 149,376 in 1997 for the Local units

The new Results Framework does not include this Indicator since as with Indicator 1 for the Strategic Objective, above, factors not affected by any JSRP actions may be responsible for causing the number of preliminary investigations to increase disproportionately, thus lowering the percentage of investigative findings as compared to preliminary investigations. This same consideration applies for Indicator 2 of this Intermediate Result 1, and for Indicators 1 and 2 for Intermediate Results 2 and 3 below.

**INDICATOR 2:** *Length of time from opening of a preliminary investigation to achieving an investigative result : dismissal resolution or resolution to initiate formal investigation in the Regional or other prosecutorial units. (\*)*

This Indicator measures the average elapsed time for an investigation to be completed in the

preliminary stage of the criminal process.

The specific JSRP activities designed to reduce preliminary investigation time were the streamlined procedures introduced into the Special Units. The only statistical data available are for the Sogamoso Unit, which can not be considered representative of all Special Units, much less of other prosecutor units around the country. The study of this Special Unit shows that average length of time for the preliminary investigation went from 298 days during the 1993-1996 period to 96 days during the period September 1996-April 1997, the period during which the unit has been functioning as a Special Unit. The Special Units program is developing an evaluation system incorporating the methods employed in the Sogamoso study and is defining standards which will be incorporated in the Prosecutors Manual.

**INTERMEDIATE RESULT 2:** *Improved effectiveness of the prosecutorial function (\*)*

**INDICATOR 1:** *Percentage of decisions (dismissals or indictment) resulting from formal criminal investigations in the Regional and other selected prosecutorial units. (\*)*

This Indicator measures the efficiency of prosecutors handling the formal investigation stage, by comparing the number of formal investigations resolved by either closure or by passing to the trial stage, to the number of investigations entering the formal investigation stage.

Results differ for the Regional and Ordinary Units. Fiscalia reports on percentage of formal investigations (instruccion) resolved show that at the regional units it went from 27% in 1996 to 32% in 1997, in the case of ordinary units ( composed of sectional and local units) the percentage went from 39% in 1996 to 33% in 1997.

In absolute numbers we have the following:

For the regional units, 2,856 investigations resolved in 1996 and 4,890 in 1997.

For the sectional units, 66,604 investigations resolved in 1996 and 65,550 in 1997.

For the local units, 104,530 investigations resolved in 1996 and 74,225 in 1997.

*A very interesting conclusion emerges from comparison of the mixed results achieved by the general training of prosecutors and the excellent results from the Special Units. The conclusion indicates that what makes the difference in efficiency in terms of both the percentages and the time of successful formal investigations, are the practical innovations introduced directly into the Special Units and not the theoretical training of the National Training Plan. This conclusion emphasizes the need to standardize and extend the innovations of the Special Units throughout the entire system, as USAID plans through the production of the prosecutors manual and the corresponding training. Therefore, this Indicator, as well as the next one, are not included in the new RF, since there cannot be an expected nationwide impact in the number of cases resolved at the investigation stage as a result of the actions developed by the Program.*

**INDICATOR 2:** *Length of time from the initiation of a formal criminal case investigation to a final case decision or to [referral to] a higher prosecutorial unit, if appeals were made, in the Regional and other selected prosecutorial units and criminal courts (\*)*

This Indicator measures the average time for a case to be completed at the formal investigation stage.

Again, statistical data is available only from the Sogamoso Special Unit study. It shows that the average time to complete a formal investigation prior to conversion to a Special Unit was 543 days, compared to the Special Unit period average of 252 days. See Indicator 1 for the Strategic Objective for the explanation for dropping this indicator as well from the new RF.

**INTERMEDIATE RESULT 3:** *Improved Operation and Administration of the Court System (\*)*

**INDICATOR 1:** *Percentage of court findings resulting from total of cases addressed in the courts in a year. (\*)*

**INDICATOR 2:** *Length of time from the presentation of the indictment to the court findings or the confirmation of the finding by a higher court if appeals were made. (\*)*

These two Indicators measure respectively the number of cases completed and the average time it takes to complete them at the trial stage of the criminal process.

While the raw data exist for these two Indicators, the Superior Judicial Council does not compile the data on a regular basis, nor does it have the budget to do so.

The oral procedures being slowly introduced into the Courts with some assistance of the program, are expected to produce positive effects on these Indicators, but at best it will take from three to five years for these to be fully implemented. They are therefore not included in the new RF.

**INTERMEDIATE RESULT 4:** *Improved Access, Fairness, and Public Perception of the Judicial System (\*)*

**INDICATOR No.1:** *Number of conflicts resolved annually through alternative dispute resolution mechanisms operating in conciliation centers. (\*)*

Within the JSRP, USAID developed an activity to strengthen and promote the use of conciliation and alternative dispute resolution mechanisms. The activity ran from 1992 through 1995 and produced important results through training and promoting ADR at more than 100 conciliation centers that exist around the country. This program has been institutionalized by the Ministry of Justice and there is a special department within the Ministry with this specific function.

Since USAID is not currently involved in the conciliation centers, this Indicator is dropped.

However the promotion of ADR has continued through the MOJ Houses of Justice program, and there are two Indicators presented in the new RF directly related with this project.

**INDICATOR 2:** *Percentage of cases received at the Houses of Justice and resolved through ADR mechanisms.*

This Indicator was proposed in last year's R-4 to measure the impact of these innovative justice service centers called Houses of Justice, which were an initiative of the JSRP that have begun to produce very important results widening the access of the community to justice services. This measure will be compiled and reported here through the end of effective USAID participation in the Houses of Justice program under Indicator 2 of Intermediate Result 2.

**INDICATOR 3:** *Total number of cases assigned to public defenders and percentage of cases addressed out of the total cases assigned to public defenders.*

Information on this Indicator will be reported in the new Results Framework under Intermediate Result 2, Indicator 1. We will report on cases assigned per defender, instead of an absolute number of cases assigned to all public defenders, because the USAID-suggested restructuring of the defender personnel system may result in the short term in a reduced number of contractor defenders in favor of a better quality but smaller staff of permanent defenders.

In absolute numbers, for the period from January to November 1996, 12,346 cases were assigned, and 23,607 cases during 1997 because the number of defenders has increased, but the average annual case load per defender for 1997 has remained at approximately 30 cases - a very low caseload compared with other national public defender programs.

**INDICATOR 4:** *Percentage of favorable sentences for the defendants assisted by public defenders of total sentences in cases assigned to public defenders. (\*)*

Information will be collected, but the Indicator will be dropped, because it is a meaningless figure. There is no necessary relationship between the efficiency of the public defender in providing an adequate and effective defense, and a resulting verdict exonerating the person charged, which is the evident assumption of the dropped Indicator.

**INDICATOR 5:** *Percentage of disciplinary actions by the Attorney General's Office against justice sector personnel involved in human rights violations out of total disciplinary actions by the AGO against public officers involved in human rights violations. (\*)*

**INDICATOR 6:** *Percentage of disciplinary actions by Attorney General's Office against justice sector personnel involved in bribery and illicit enrichment out of total disciplinary actions by the AGO against justice personnel. (\*)*

USAID in 1995 suspended assistance to the AGO due to serious criminal charges against the then Attorney General related to corruption and illicit enrichment. We have approached the new AG to explore possible renewal of assistance, but at present there are no JSRP activities that would contribute to the results depicted in Indicators 5 and 6. Even if there were such activities, the multiplicity of factors that would determine the outcomes these Indicators would measure make them imprecise and inappropriate, thus the new RF excludes them.

**INDICATOR 7:** *Improved popular perception of effectiveness of and accessibility to the criminal system.* (\*)

As mentioned above, experience has shown that there is no correlation between the improvements achieved in the justice system and the public perception about the system. It has been proven that public perception changes as a result of a diverse range of factors. Consequently this indicator cannot be considered a reliable and valid parameter to measure the results and impact of the JSRP.

This Indicator is replaced by Indicator 1 of the Intermediate Result 2.3, which will measure the communication of justice issues to students, teachers and community leaders, as well as to the communities of the Houses of Justice areas; and the channeling of citizens' demands concerning justice to justice sector institutions.

**INTERMEDIATE RESULT 5:** *Improve capabilities of the justice system in specific areas:* The Mission proposed to eliminate this Intermediate Result in the past R-4, since the JSRP was no longer carrying out any activities related to these areas. Consequently, its corresponding Indicators are eliminated as well. (\*)

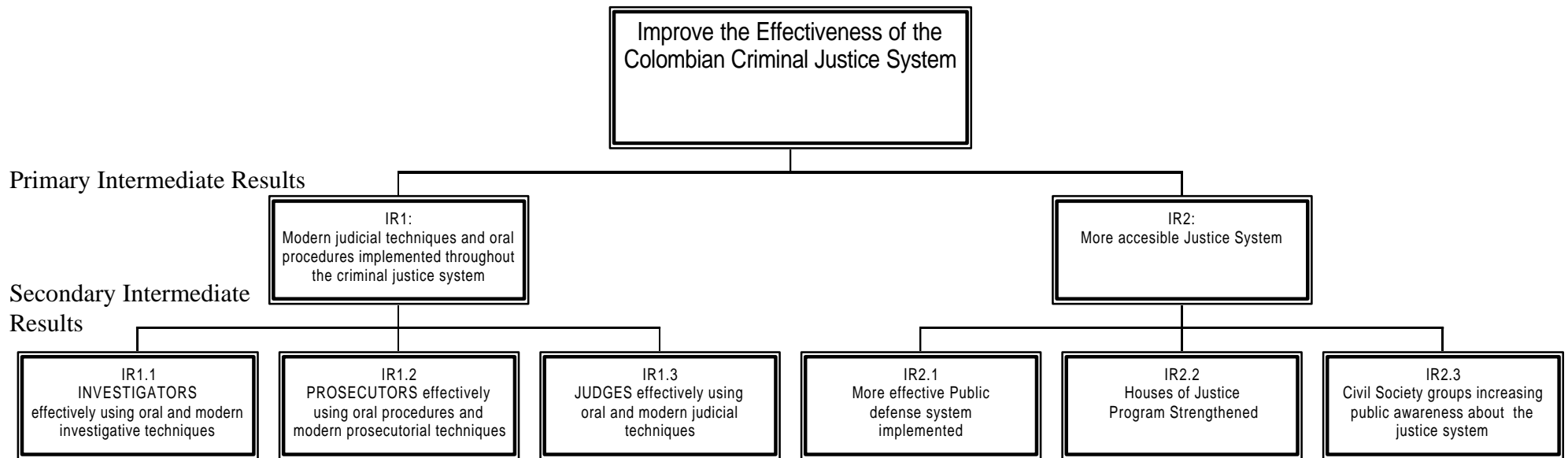
**INDICATOR 1:** *Percentage of justice sector institutions which have designed and implemented an information system which provides performance data of the judicial system.* (\*)

**INDICATOR 2:** *Number of successful acts of violence against the justice sector personnel.* (\*)



## CHART OF THE RESULTS FRAMEWORK

# Strategic Objective One (Democracy - Justice Reform) Results Framework



USAID/Colombia

## **New Results Framework**

The present chart incorporates the findings of both the Program review carried out in the last quarter of FY 1997 and the RIG performance audit of January 1998. The Mission has striven to come up with a consistent package which reflects the real impact and results that the JSRP can achieve under the current time frame limit continuing with the development of the already established plans for each element. The results now sought and presented in this chart show more direct relation to Program activities and replace the previous RF by introducing the following major changes:

### **1. MORE DIRECT RELEVANCE TO PROGRAM RESULTS.**

The previous RF carried too many Indicators, 18 in all, that were often not directly related to activities carried out by the program. The revised RF concentrates on fewer and more essential results and Indicators: while the number of IRs is increased slightly, 2 primary and 6 secondary IRs, the number of indicators is reduced from 18 to 9. Furthermore, the IRs and Indicators are the direct result of program activities. For example, the new Judicial IR commits only to the effective use of modern oral procedures, recognizing that reduction in trial time is dependent on other factors as well, such as improved court administration, not covered by the Program.

### **2. RESULTS ATTAINABLE WITHIN LIMITED TIMEFRAME.**

In accordance with USAID/Colombia's Management Contract, the JSRP is introducing specific training for judges and public defenders. The results and Indicators for these new activities and programs, and those for all other IRs, have been adjusted to the limits of the 1999 close-out, and can realistically be expected to be accomplished by that time. For example, for assistance to judges, the commitment is only to "introduce" oral procedures at the trial stage in a limited number of circuit courts: full implementation for all types of criminal courts nationwide will require a minimum of three years and more likely a five year time frame. Likewise, little more than the adoption of a modern training program for the public defenders can be expected by September of 1999. As indicated in the data performance tables, more time will be required to assure the consolidation of these gains through the further reform of the Criminal Procedures Code.

### **3. RELIABILITY OF DATA AND MEASUREMENT INSTRUMENTS.**

The data points for the Indicators of the new RF are all from objectively verifiable sources. First, Indicators are clearly defined and specific. For example, at the SO level the criteria for "improved perception" and "favorable opinion" will be enumerated and described in terms of efficiency, efficacy, impartiality and fairness, and accessibility. Base line data for this indicator will be gathered and tracked by low-cost focus group methods involving practitioners and expert users; implementation data will be defined by official documents (e.g. the use of oral procedures will be verified by regulations promulgated by the Judicial Council) and spot checked on a regular basis by USAID personnel and if need be by external consultants. Finally, training related indicators will be based on official curricula and participant examinations for their content and efficacy verification.

### **3. Expected Progress for FYs 1998, 1999**

A number of important factors combine to enhance the prospects for success in achieving the redefined Strategic Objective and Intermediate Results within the times indicated in the performance data charts.

- A. Improved socio-political and counterpart conditions. The seven month impasse between OPDAT and the Fiscalía has been overcome and new collaborative policy dialogue relations have been opened with the Superior Judicial Council and the Public Defender's Office.
- B. Increased resource levels. \$1 million annually from State/ARA and \$1.8 million total from INL for continued work with the Prosecutor's Office and judicial police.
- C. A stronger USAID/Colombia program management situation with the contracting of Management Sciences for Development (MSD), an experienced USAID justice program administrator, for improved implementation and coordination.
- D. Closer donor coordination: direct contact between the AID and IDB representatives concerning issues important to the completion and continued extension of the Information System designed and implemented in pilot units of the Bogota and Medellin Prosecutor's Office.

During 1998 and 1999, the last phase of the currently authorized JSRP, efforts will be concentrated in the consolidation of already initiated activities to achieve a status permitting each sub-element of the program to be sustained and continued by the corresponding counterparts.

Based on the Results Framework presented in this document, the Mission expects to achieve the following results for FY98 and FY99:

- An improved perception about the justice system and the implementation of modern investigative and trial techniques by judges, prosecutors, investigators and defenders. This improvement will be the result of the extension of significantly expanded training programs to the participants of the justice system.
- Practical implementation of oral techniques in the conduct of trials in an important number of the circuit judicial courts, as a result of the training provided and the explicit regulations established by the Superior Judicial Council covering uniform trial procedures.
- A unified curriculum operating at the three main judicial police academies, i.e. the Technical Investigative Corps of the Prosecutor's Office(CTI); the National Judicial Police Directorate(DIJIN), of the National Police, and the judicial police of the Administrative Security Department (DAS).
- Standardized investigation practices and use of oral procedures extended to an important number of prosecutors nationwide through the development and distribution of a prosecutors manual and the corresponding training .
- An increment in the cases resolved by Special Prosecutorial Units focused on major crimes such as human rights killings, money laundering, asset forfeiture and public

corruption.

- A restructured judicial school applying modern techniques of judicial training, including training in modern trial techniques and the conduct of oral criminal trials.
- A wider and more effective public defense system providing more indigent defendants with an adequate defense and legal assistance in criminal cases.
- A restructured Public Defense Office that assures more effectiveness in the handling of criminal cases.
- Institutionalization of the Houses of Justice project at the municipal level, including standardized regulations and policies incorporated into municipal plans.
- Civil society receiving education regarding human rights, basic democratic principles, justice sector issues and alternative conflict resolution, with this information communicated both to the public and to the justice institutions.

#### 4. Performance Data Tables

##### Strategic Objective:

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System. <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> not applicable			
<b>STRATEGIC OBJECTIVE INDICATOR:</b> Improved perception of the justice system by justice officials			
<b>UNIT OF MEASURE:</b> Percentage of the officials participating in the system with a favorable opinion about the use and effectiveness of oral procedures and modern investigative techniques in the different stages of the criminal process.  <b>SOURCE:</b> Opinion poll and focus groups composed of participants in the system, i.e. judges, prosecutors, investigators, public defenders and academics.  <b>INDICATOR DESCRIPTION:</b> To achieve the strategic objective the JSRP will introduce modern judicial techniques and orality throughout the entire criminal justice system. The assumption is that these activities will result in a more effective system and that this effectiveness will be perceived by the participants in the system.  <b>COMMENTS:</b> Baseline information exists from a reliable study carried out by the Superior Judicial Council, together with the Universidad Nacional de Colombia, which includes a sample of 424 judges around the country. Only 30,7% of the judges surveyed had a favorable opinion of reforms introduced into the system since the 91 constitutional reform. This opinion is that the reforms, and specifically the Prosecutors existence has not contributed to the effectiveness of the justice system. Future surveys will include this group and other participants of the system, such as prosecutors, public defenders and investigators. The opinion polls will consider the factor of the officials who have received the training programs vs. those who have not.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1996		30,7%
	1998	36%	
	1999	41%	
	2000	50%	
	2001	60%	
	2002	70%	
	2003	75%	

## Intermediate Result Number 1

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME 1:</b> Judges effectively using oral and modern judicial techniques			
<b>INDICATOR: 1.</b> Norms mandating oral procedures at trial stage institutionalized			
<b>UNIT OF MEASURE:</b> Steps in the process of institutionalization of modern trial practices  <b>SOURCE:</b> Superior Judicial Council. <b>INDICATOR DESCRIPTION:</b> This indicator measures the process of incorporation of effective and proven trial practices into the courts.  <b>COMMENTS:</b> These modern trial practices will include oral procedures, which in turn will determine how evidence is presented by prosecutors and investigators. Since the practices have proven effective in the courts associated with the special units (see IR1), their implementation will imply effectiveness.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		
	1998	Judicial school restructured	
	1999	Oral regulations developed and approved by the SJC. Regulations incorporated into training provided by the judicial school	
	2000	Major aspects of a modified Criminal Procedure Code identified and agreed upon by the SJC and passed by Congress.	
	2001	Major modifications of Criminal procedure code implemented in 60% of circuit courts	
	2002	Modifications of Criminal procedure code implemented in 80% of circuit courts	
	2003	Modified procedures implemented in virtually all circuit courts	

## Intermediate Result Number 1.1

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 1.1. Investigators effectively using oral and modern investigative techniques			
<b>INDICATOR 1:</b> Single investigative curriculum adopted by the three main police academies			
<b>UNIT OF MEASURE:</b> Steps in the process of adoption and implementation of the curriculum.  <b>SOURCE:</b> National Council of Judicial Police. <b>INDICATOR DESCRIPTION:</b> What this indicator measures is the process of developing the curriculum and incorporating it into the three main judicial police academies in order to standardize the use of modern investigative techniques, which will result in more effective criminal investigations. Modern investigative techniques include oral investigative procedures, plus basic investigative skills and training in oral presentation of evidence. The adoption of the curriculum has to be approved by the members of the National Council of Judicial Police (NJPC) in order to assure its institutionalization.  <b>COMMENTS:</b> The general content of the curriculum for the basic training of investigators was defined as a result of one first phase of investigators training developed by ICITAP, which resulted in approximately half of the investigators of the three main judicial corps trained in the modern investigative techniques. The three academies are those of the Prosecutor General's Office, the Department of Security Administration (DAS) and the National Police.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		Content defined
	1998	Single curriculum developed and officially adopted by NJPC. Agreement of the NJPC.	
	1999	Single curriculum introduced into the three academies. Implementing plan of each school. Training of investigators developed according to the defined curriculum	
	2000	Single curriculum approved by the national accreditation agency (ICFES)	



## Intermediate Result Number 1.2

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME: 1.2.</b> Prosecutors effectively using oral and modern prosecutorial techniques			
<b>INDICATOR 1:</b> Modern innovations extended system wide			
<p><b>UNIT OF MEASURE:</b> Steps in the process of incorporating and implementing investigative procedures into the PGO, which includes the development of a manual, the percentage of people trained and the percentage of cases resolved.</p> <p><b>SOURCE:</b> Prosecutor General's Office.</p> <p><b>INDICATOR DESCRIPTION:</b> This indicator measures the process of standardization and incorporation of effective already proven investigative techniques and procedures throughout the system.</p> <p><b>COMMENTS:</b> The prosecutorial techniques developed in the former Special Units and the procedures and standards developed in the newly created money laundering and asset forfeiture units with a staff of approximately 100 people, will be refined and incorporated into the Prosecutors Manual. In addition specialized training in modern prosecutorial techniques for certain types of major crimes impacting U.S. and Colombian interests will be provided (money laundering, property forfeiture, illicit enrichment, corruption, etc.) (*) Crimes related to narcotics, terrorism and kidnapping are currently investigated by regional prosecutors according to special emergency procedures. These units are scheduled to be eliminated in 1999, thus requiring the ex-regional prosecutors to be trained in ordinary procedures.</p>	1998	Prosecutors manual drafted. Design and sign of a formal agreement to institutionalized the results of the Program New special units of money laundering and asset forfeiture formed and trained.	
	1999	20% increase in cases resolved at special national units receiving direct support from the JSRP. Training in manual to 50% of sectional prosecutors	
	2000	Training in manual to 100% of sectional prosecutors and 50% of local prosecutors. 50% of ex-regional (*) prosecutors receive training in the ordinary criminal process	
	2001	Training in manual provided to 100% of local prosecutors 100% of ex-regional prosecutors receive training in the ordinary criminal process Revised manual to incorporate changes of the new Criminal Procedure Code.	

### Intermediate Result Number 1.3

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System. <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 1.3. Modern judicial techniques and oral procedures implemented in the trial system			
<b>INDICATOR 1:</b> Court practices incorporating modern judicial techniques and oral procedures introduced in the circuit courts			
<b>UNIT OF MEASURE:</b> Percentage of circuit courts applying oral trial and modern techniques.  <b>SOURCE:</b> Consultant reports contracted by USAID and from data provided by Superior Judicial Council and verified by USAID-financed consultant. An random sample of courts will be selected to visit and observe a set of criteria which will defined the application of orality and modern techniques. In addition if a revised Criminal Procedure Code is passed, more training will be required. <b>INDICATOR DESCRIPTION:</b> Superior Judicial Council will define and implement regulations regarding the trial stage of the criminal process, which will include the practice of those modern and oral techniques. The indicator measures the percentage of courts where those regulations are put into practice.  <b>COMMENTS:</b> (*) Anecdotal information shows that there are some courts using oral techniques in trials, especially those courts where the special units are located, but data on both, the quality and extent of oral procedures being applied has to be gathered more scientifically in the future.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		(*)
	1998	20%	
	1999	30%	
	2000	50%	
	2001	60%	
	2002	80%	
	2003	90%	

## Intermediate Result Number 2

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 2. More accessible justice system			
<b>INDICATOR 1:</b> Number of cases per defender increased			
<b>UNIT OF MEASURE:</b> Number of cases  <b>SOURCE:</b> Public Defenders Office  <b>INDICATOR DESCRIPTION:</b> This indicator measures the amount of cases handled by the public defenders during a year  <b>COMMENTS:</b> Increase in accessibility of the justice system will be achieved by increasing the productivity of the defenders. The Colombian public defense system is incipient both by the number of defenders by population and by the lack of performance standards, therefore the present indicator is defined by defender productivity and not by absolute number of cases. Furthermore USAID will stress performance standards in the training courses and promote the creation of a supervisory unit.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		30
	1998	33	
	1999	36	
	2000	38	
	2001	40	
	2002	45	
	2003	50	

## Intermediate Result Number 2

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 2. More accessible justice system			
<b>INDICATOR 2:</b> Increased number of users served at the houses of justice			
<b>UNIT OF MEASURE:</b> Number of users receiving services from the houses of justice  <b>SOURCE:</b> Ministry of Justice and Law - Department of Prevention and Conciliation  <b>INDICATOR DESCRIPTION:</b> This indicator measures the number of users who receive justice services at the houses of justice.  <b>COMMENTS:</b> In relation to the houses of justice, accessibility will be increased directly by 1. improving the houses of justice capacity to deliver services and 2. by encouraging a greater demand through an information campaign. (*) This number of users is taken from the seven houses operating at the end of the year 97, although some did not operate during the complete year, three were established during the final quarter. Next year's report will differentiate between users attended at those seven houses and those attended at the houses created during the year. In general each case involves at least two people in a conflict, in some other cases more, the entire family, therefore the real number of beneficiaries served by the Houses of Justice is double or triple the number indicated.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		Approx. 64,000 (*)
	1998	70,000	
	1999	75,000	
	2000	80,000	
	2001	85,000	
	2002	90,000	
	2003	100,000	

## Intermediate Result Number 2.1

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System. <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 2.1. More effective public defense system implemented			
<b>INDICATOR 1:</b> Public defender Office strengthened organizationally and operatively			
<b>UNIT OF MEASURE:</b> Steps in the process of reorganizing the Public Defense Office  <b>SOURCE:</b> Public Defenders Office  <b>INDICATOR DESCRIPTION:</b> Access to the justice system will be greatly broaden by the reorganization of the Public defenders Office through the creation of a special training unit, the development of performance standards mandating greater productivity, through the promotion of a career system with permanent official and a management information system leading to a more efficient redistricting and redistribution of defenders.  <b>COMMENTS:</b> It is assumed that as more public defenders receive appropriate training in modern defense skills and as the training unit provides more training as result of its strengthening, the public defense service will be more effective.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		
	1998	Training unit established in PDO	
	1999	Training program in operation. Design of an institutional strategic plan. Design of a public defenders personnel system.	
	2000	Actions of institutional strategic plan initiated. Personnel system implemented.	
	2001	Design of a modified public defense system providing a more opportune defense service.	
	2002	Modified public defense service implemented	

## Intermediate Result Number 2.2

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 2.2. Houses of Justice Program strengthened			
<b>INDICATOR 1:</b> Government of Colombia policy on Houses of Justice implemented			
<b>UNIT OF MEASURE:</b> 1. Number of new houses established in a year 2. Inclusion of houses of justice policy at the municipal level.  <b>SOURCE:</b> Ministry of Justice - Department of Prevention and Conciliation  <b>INDICATOR DESCRIPTION:</b> This indicator measures the implementation of the Government of Colombia policy in the national and local levels and the number of new houses of justice established  <b>COMMENTS:</b> Government of Colombia policy already exists in the national level to increase the number of houses of justice, but since the houses depend on local governments for their physical installation, operation and maintenance costs, national policy must be reflected in Municipal/Governors plans. The Program will advocate regulations at the national, regional and local levels. The Houses of Justice System will be extended through the creation of new houses in other cities and neighborhoods and simultaneously through the institutionalization of this system at the local level. (*) National, regional and local regulations for the Houses of Justice developed. A manual to standardize and uniform the policies of the Houses of Justice will be produced.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		7
	1998	5	
	1999	5(*)	
	2000	5	

## Intermediate Result Number 2.3

<b>STRATEGIC OBJECTIVE:</b> Improve the effectiveness of the Colombian Criminal Justice System <b>APPROVED:</b> 01/05/1993 <b>REVISED:</b> 05/11/98 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME: 2.3.</b> Civil society groups increasing public awareness about the justice system			
<b>INDICATOR 1:</b> Information on key justice issues effectively communicated to the community and justice institutions			
<b>UNIT OF MEASURE:</b> Number and type of information recipients  <b>SOURCE:</b> NGO's carrying out civic education programs using results of omnibus surveys.  <b>INDICATOR DESCRIPTION:</b> This indicator measures the extension of civic education programs. Public opinion on justice matters will continue to be channeled to justice institutions through the omnibus surveys (general surveys carried out regularly for none USAID related purposes, but incorporating justice sector issues through questions developed by the Corporacion para la Excelencia with USAID funds), also to be used in the civic education courses to be developed ultimately for incorporation into school curricula.  <b>COMMENTS:</b> (*) A pilot civic education program concentrating on justice issues will be carried out in five cities covering approximately 600 students.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1997		
	1998	Pilot civic education courses developed. (*)	
	1999	Courses introduced into schools and communities, through direct courses and through the houses of justice. Information channelled to officials by omnibus surveys	
	2000	Draft of revised civic education curriculum approved. The curriculum will be incorporated at the pilot municipalities.	
	2001	Civic education courses integrated into school curricula	

## 5. Projected Activities/Budget for FY 2000 and Beyond

The following is a projection of the resources needed for the activities proposed for FY 2000. This projection presupposes that all funds requested for FY 1998 and 1999 will have been expended by that time. The resource request for FY 2001 to 2003 will be based on a Strategic Plan to be developed in late CY 1998 or early CY 1999, should approval be granted for the continuance of the program.

### FY2000: Program and Institutional Contractor costs

Activity	Required Budget
• SO: Focus groups to measure increased acceptance of the new investigative and trial procedures	50,000
• IR1: Complete draft of the Criminal Procedure code	200,000
• IR1.1: Introduce ICFES approval requirements into police training curriculum	* 500,000 (from ARA)
• IR1.2: Extend training about the Manual to 50% of prosecutors	* 500,000 (From INL)
• IR1.3: Introduce feedback from judges, and train new judges on oral procedures	200,000
• IR2: Increase productivity of defenders will require a pilot MIS and additional training	250,000
• IR2.1: Implementation of the PDO's Strategic Plan and personnel system will require TA, training and logistic support.	150,000
• IR2.3: Minimal assistance in developing and publishing organizational and procedures manual	100,000
• IR2.3: Revised civic education curriculum and negotiations with Ministry of education to institutionalize its use.	100,000
<b>Total</b>	<b>1'050,000</b>

\* Funds from these Intermediate results come from ARA and INL



### **Additional Initiatives:**

Should the Program continue beyond FY 1999, USAID will start activities which have been identified as critical in the process of democracy strengthening and the national US interests. These activities will include four main areas:

• Peace process	400,000
• Displaced	100,000
• Alternative Development	200,000
• Human rights	100,000
• Congress Reform	200,000
Total	1'000,000

USAID/Colombia has funded preliminary investigations to produce concept papers in relation to the peace process and alternative development to identify needs and priorities for USAID assistance. Furthermore. USAID has financed the publication of the peace and negotiating plans proposed by all the major actors in the conflict and posible participants in the peace negotiations.

For the FY 2001 and 2003 USAID anticipates decreasing levels of support for the IRs and increasing levels of support for the four additional democracy strengthening areas. Total expenditures should remain approximately between 1,8 and 2 million dollar annually.

**B. SPECIAL OBJECTIVE 1: Improve management of environmental endowments and other natural resources funding mechanisms to ensure long-term, sustainable financing**

**1. Performance Analysis**

As structured, the principal, if not the only result anticipated under this Special Objective was the consolidation of a single identified NGO. Emerging as an effective implementing entity, it would become financially self-sufficient, and would develop a strategic plan and strategy to ensure continued funding of environment and child survival activities. That NGO was formed in 1993, at the same time the Americas Fund was established with GOC interest owed to the USG on official debt. Despite close collaboration by USAID staff with the NGO to improve its administrative and management capabilities, especially intensive efforts over the last two years as the NGO's inability or unwillingness to abide by the Bilateral Agreement's 10 percent limit on funding administrative costs from deposits became increasingly apparent, the NGO has not been able to produce a satisfactory strategic plan, financial self-sufficiency plan, nor a project management strategy (all of which also were of concern at last year's R-4 review).

As noted in the Summary Performance Table, an October 1997 financial and administrative analysis confirmed continuing severe deficiencies. As the USG member on the Colombia Council of the Americas, USAID/Colombia Representative, in consultation with the State and Treasury Departments and with USAID/Washington, has formally informed the GOC that the current unsustainable situation must be remedied by amending the 1993 Bilateral Agreement, and developing revised financial and management structures. The GOC has responded favorably, and although we are confident agreement will be reached to preserve the Fund for developmental environment and child survival activities, it is unlikely this can be accomplished before the current Colombian administration leaves office in August 1998.

Annex D, an April 28, 1998 unclassified status reporting cable (Bogota 4723) drafted by the USAID Representative, sets out the details of the current situation.

In addition, Colombia is of critical importance from a world environmental perspective (a "mega biodiversity" country) and has made a serious and decided commitment to the environment. The GOC has borrowed over \$220 million from the World Bank and IDB for environmental protection projects and the private sector has invested \$500 million in new equipment to comply with higher GOC and international environmental standards. The new Ministry of the Environment has spurred a broadening of interest in working nationally and internationally in environmental protection. A prime example is the November 1997 agreement signed in Bogota between the U.S. Environmental Protection Agency and Colombia's Environment Ministry to help Colombia develop a water quality management strategy. USAID/Colombia has agreed to be the in-country facilitator of this GOC-EPA understanding.

As a result of the strengthened GOC presence in the field, the EPA's interest, and the coincidence of the renegotiation of the \$50 million Americas Fund Framework Agreement, USAID/Colombia is convinced much more can be achieved within this Special Objective without major additional USAID investment. By tying the renegotiation of the Americas Fund Framework Agreement to the development of mechanisms promoting the complementarity of that Fund's eventual programming criteria to GOC long term planning and compliance with international environmental and conservation measures and commitments by Colombia, we can lay the base for an active and productive U.S. - Colombian official relationship in this crucial field.

Accordingly, we propose the elimination and replacement of both previous Intermediate Results (Establishment of an Environmental Endowment as part of a self-sufficient and large financial strategy; and Development of a Strategy Plan and implementation of adequate Project Strategy that includes impact indicators and a monitoring system, placed and being used at ECOFONDO).

As new Intermediate Result 1 to achieve the approved Special Objective, USAID/Colombia proposes: **"The Americas Fund operating effectively according to a strategic plan."** Through the USAID Representative's position as the appointed U.S. representative to Colombia's Council of the Americas, and as the only U.S. government agency with environmental development programming expertise present in Colombia, USAID would continue to take the lead in converting the Americas Fund into an effective development mechanism. Already USAID/Colombia has prepared a draft of a new Bilateral Agreement that would separate control of the Fund's principal from the administration of the fund's income; establish the fund as a permanent rather than a draw-down fund; and require the Council of the Americas to establish a clear, long-term strategy for the fund.

USAID\Colombia also proposes the following Intermediate Result 2: **"Productive institutional links established between U.S. and Colombia public and private environmental institutions."** To achieve this IR, contacts between U.S. and Colombian governments and private institutions will be expanded and strengthened, areas of possible technical cooperation will be explored, and the means to establish permanent institutional links will be investigated. USAID/Colombia will promote and facilitate links through government-to-government or institution-to-institution agreements. Agreements might be made for example, between governmental institutions such as the U.S. Environmental Protection Agency and the Colombian Ministry of Environment, the U.S. Forest Service and the Colombian Department of Forestry, and National Oceanographic and Atmospheric Administration and the Ministry of the Environment or private institutions such as the Nature Conservancy and the Forest Department. The establishment of such agreements will allow continued and broadened U.S. support for Colombian efforts to effectively manage its environmental endowments and other natural resource funding mechanisms, such as multilateral loans, after the closing of USAID/Colombia.

Such inter-institutional links will support a wide range of approaches to resolving Colombian

environmental problems. The EPA, for example, is actively interested in assisting Colombia to develop an integrated plan for the protection and restoration of the Magdalena River Watershed, thus beginning to reduce and reverse the severe contamination in the Caribbean. The Nature Conservancy might start additional Conservation Data Centers. The World Wildlife Fund might assist the Department of Quindio to prepare a strategic plan for the development of ecotourism. Through such activities, both the adequate functioning of the Americas Fund and permanent links between Colombia and U.S. private environmental institutions would be established and reinforced.

The following Performance Data Tables have been altered to reflect the Mission's amplified vision and our proposed new Special Objective.

## **2. Other Activities Financed by LAC and Global Funds:**

### **The Nature Conservancy (TNC) Parks in Peril Program:**

This Strategic Objective No. 4 of the LAC Regional Program R-4 administered by TNC will continue on a small scale until the end of FY 99 when the so called balancing themes will finish. Four National Parks were selected from Colombia under this program. USAID/Colombia, with local funds will continue helping TNC to accomplish some goals before the end of FY 98. Evaluation processes, score cards, indicators and results are prepared by TNC and will not be reflected in this document, since they are part of LAC Regional Program R-4.

### **Biodiversity Support Program:**

Under this centrally funded program, several conservation and research projects have been sponsored in Colombia. During FY 98 one small proposal presented by a Colombian NGO for the preservation and protection of migratory birds (US\$65,000), was approved.

### **CIAT:**

Under this Global program during FY 97 a contribution of USD\$2.37 million was assigned to CIAT's (International Center for Tropical Agriculture) core program.

CIAT is the international agricultural research center focussed on tropical agriculture and sustainable land management systems for the tropics. It conducts strategic research programs on rice, beans, tropical forages and cassava as well as projects on: Community Management of Hillside Watersheep Resources; Rice Improvement for Latin America and the Caribbean; Tropical Grasses and Legumes for Multiple Uses; Conservation of Plant Genetic Resources in

the Neotropics; Enhancing Agrobiodiversity Through Biotechnology; Integrated Pest and Disease Management; Improving Soil Quality in Marginal Environments; Sustainable Systems for Small-Scale Farmers; Rural Agroenterprises for Small-Scale Farmers and others. These commodity programs draw on the center's gene bank collection which are the best in the world, and bring to bear cutting edge science (breeding, biotechnology, pathology, pest management) to solve problems in developing country agriculture.

USAID/Colombia has also used local currency trust funds equivalent to US\$20,000 to develop educational programs between CIAT and environmental Colombian NGOs..

### **3. Expected Progress for FYs 1998, 1999, 2000**

#### **FY 1998**

- New Bilateral Agreement signed, new Americas Council constituted, Americas Council internal By-Laws approved and project selection criteria established by the Council.
- Over 20 new environmental and child survival projects approved and beginning of monitoring process under new system started.
- Financial program for the management and administration of the Funds analyzed and approved by the Americas Council.
- One new effective US-Colombia institutional link established.

#### **FY 1999**

- Monitoring and follow-on process for projects running.
- 30 new projects on environment and child survival running smoothly in different parts of the country.
- Begin evaluation of new system to administer the Americas Fund.
- Projects approved during 1997 and 1998 being evaluated under the new monitoring and evaluation system.
- Two new institutional links established between U.S. and-Colombian organizations.

#### **FY 2000**

- Evaluation of new administration system completed.
- 40 new projects on environment and child survival approved.
- The new administrative system totally organized and capable of carrying overall responsibilities of administration of fund and projects financed with Americas Fund.
- Two more institutional links established between US-Colombia organizations

#### 4. Performance Data Tables

<b>Special Objective No.1:</b> Improve management of environmental endowments and other natural resources funding mechanisms to ensure long-term, sustainable financing. <b>APPROVED:</b> Colombia Action Plan FY 96-97 5/9/95 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 1. The Americas Fund operating effectively according to a strategic plan.			
<b>INDICATOR:</b> Administrative mechanisms in place for management of the Americas Fund and projects approved.			
<b>UNIT OF MEASURE:</b> Documents and projects (units and value in \$ thousands). <b>SOURCE:</b> EAI Administrative Council and USAID/Colombia record. <b>INDICATOR DESCRIPTION:</b> Fundamental agreements and regulations and environment and/or child survival projects approved.  <b>COMMENTS:</b> Project units are projects approved in the corresponding calendar year since that is how the Americas Council keeps its records. After the new project selection criteria are determined, a smaller number of larger, more significant projects will be approved. For that reason, the planned project targets decrease in FY 2001 and FY 2002, at which time the number of and size of projects should stabilize.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1993		Debt reduction Agreement; Fund Admin. Agreement
	1996		9 projects, \$597
	1997		38 projects, \$809
	1998	New Bilateral Agreement signed and Council constituted (Dec 98) 20 projects, \$3,500	
	1999	New By-Laws and project selection criteria approved (Mar 99) 60 projects, \$6,000	
	2000	60 projects, \$6,000	
	2001	40 projects, \$6,000	
	2002	30 projects, \$6,000	
	2003	30 projects, \$6,000	

<b>Special Objective No.1:</b> Improve management of environmental endowments and other natural resources funding mechanisms to ensure long-term, sustainable financing. <b>APPROVED:</b> Colombia Action Plan FY 96-97 5/9/95 <b>COUNTRY/ORGANIZATION:</b> Colombia/USAID			
<b>RESULT NAME:</b> 2. Productive institutional links established between U.S. and Colombian public and private environmental institutions.			
<b>INDICATOR:</b> Number of institutional links established.			
<b>UNIT OF MEASURE:</b> Units.  <b>SOURCE:</b> Ministry of Environment and USAID/Colombia records.  <b>INDICATOR DESCRIPTION:</b> The number of agreements entered into during the year.  <b>COMMENTS:</b> Of course, the links established must mature and deepen in order to become mutually productive. USAID/Colombia expects to contribute to this process in each case. Results of each relationship will speak for themselves.	<b>YEAR</b>	<b>PLANNED</b>	<b>ACTUAL</b>
	1992		1 TNC & Ministry of Environment
	1997		1 WWF & Ministry of Environment
	1998	2	
	1999	2	
	2000	2	

The effectiveness of the Americas Fund has been limited by structural weaknesses in the Bilateral Agreement and the failure of the envisioned administrative arrangements. A single Colombian non-government institution, ECOFONDO, was given control over both the capital and the interest of the Fund. Despite intensive efforts over four years, including USAID financed training, it has proven unable to effectively administer either. The Council of the Americas has not established a long-term strategy for the Fund; consequently, what little funding has been disbursed has been dispersed over many unrelated and uncoordinated small projects that have little prospect of producing long-term, significant improvements in the protection of Colombia's environment. Nor was the Fund clearly established as a permanent endowment, rather than a draw-down fund, limiting its perpetuity and discouraging long term planning by the Council.

The new directions for the approved Special Objective will place USAID/Colombia squarely within a more active and broader support and promotion role for environmental development here.

### **PART III. STATUS OF THE MANAGEMENT CONTRACT**

#### **A. Review of Principal Commitments**

Taking the Management Contract Issues in the order of the relevant cable (97 State 070883):

1. Refocus the JSRP to achieve results in the time remaining before program closure. DONE.
2. Judges Training separated from OPDAT responsibility, restructured and accelerated. New structure proposed and adopted for Judicial School. New contractor using experienced judicial trainers promoting modern in-service methods. DONE.
3. Law school curriculum development. Found to be unfeasible and What little might be done by close out would have minimal impact and is not worth the required labor intensity and expense in the context of a legal culture resistant to rapid change. ELIMINATED.
4. Get NGO component up and running. Three new grants signed with eminent Colombian Human Rights, Governability, and Justice civic education groups. DONE.
5. Casas de Justicia program expansion. GOC will continue to promote and fund future expansions. USAID will focus on deepening and expanding the impact of existing 7 Casas, developing experiences and management structures that MOJ will promote to the new Casas and the municipalities. DONE.
6. Public Defender training separated from OPDAT responsibility, restructured, accelerated, and refocused. New contractor using Costa Rican and U.S. experienced defenders as TA providers. DONE.
7. Police Investigative Training institutionalized. The ICITAP designed curriculum has been officially adopted by the three main police investigative bodies. DONE.
8. Thorough program and financial analysis completed by interagency team. DONE.
9. New Results Framework completed with new indicators developed. Submitted herewith for review and approval. DONE.
10. Environmental programming apart from Americas Fund. Mission to explore and propose. DONE.
11. Close Out Plan to be completed. DONE.



12. Environment Special Objective required better IRs and indicators. DONE.
13. Population program (PROFAMILIA) sustainability study completed and recommendations for promoting its experience beyond Colombia made. DONE.
14. Greencom activities enabled. Decertification is not a current problem. However, the Greencom program signed with ECOFONDO is currently suspended and will be shifted to another implementing entity. DONE.

## **B. Special Report on Population Program Follow Up**

In keeping with last year's Management Contract, a review was conducted of the more than thirty years of USAID family planning support to Colombia. The report documents one of the Agency's most successful population programs and identifies numerous lessons learned during our association with PROFAMILIA, the highly effective and self-sufficient private family planning association. It also suggests and provides guidance for a continued USAID - PROFAMILIA relationship. This would help to ensure that PROFAMILIA remains a vital part of the international community of family planning and reproductive health providers and that its staff remains technologically up-to-date. Given USAID's past investment, the Agency should ensure that the lessons from Colombia's population experience and from PROFAMILIA's unique role continue to serve as a model for programs in other countries worldwide.

It is also proposed that for FY2000, approximately \$300,000 be provided from LAC Regional funds in order to assess the sustainability of family planning in Colombia and to measure any changes that might have occurred following the 1996 termination of USAID population assistance. A follow-up survey to profile family planning users and USAID participation in a Demographic and Health Survey, (to be funded jointly by PROFAMILIA and other international donors) would provide the necessary data for the assessment of changes in contraceptive use, types and quality of services, and levels of self-sufficiency. This assistance could be managed through the Global PHN Center's population cooperating agencies.

**USAID/Colombia**

**Resource Request**

**FY 2000**

**Part IV. Resource Request**

**A. Financial Plan**

- Narrative
- Program Funding Tables

**B. Prioritization of Objectives**

**C. Linkage with Centrally Funded Mechanisms.**

- Narrative
- Field Support Table

**D. Workforce and OE**

- Narrative
- Operating Expenses Tables
- Workforce Tables
- Trust Funds & FSN Separation Fund Table
- Cost of Controller Operations Tables

**Annexes:**

**A. Common Objectives Matrix**

**B. Closeout**

1. Closeout Plan
2. Closeout Operational Plan
3. Closing of Mission Checklists

**C. Assessment Summary**

**D. Report Cable 4723- USAID Representative**

**E. Program Development& Support (PD&S)/Local Currency Trust Fund**

## **PART IV. RESOURCE REQUEST**

### **A. FINANCIAL PLAN**

In the light of the thorough review of the Mission's current program, and the yet unchanged close-down date, we have not sought significant additional resources for the period to September 1999. However, if our proposal to continue operations here beyond that point is accepted, we will be seeking additional funding for FY 2000 and beyond.

#### **Strategic Objective - Justice Reform**

The present financial plan for the Strategic Objective is geared to achieve the limited results now planned within the time-bounds of the scheduled FY 99 close out. We are confident that the revamped JSRP results are achievable within the seventeen month limit from the review of this R-4. The present ESF pipeline should draw down to below \$2.0 million by the end of FY 98. With the approved FY 98 addition of \$1.8 million through State/INL, primarily for OPDAT implemented activities, and the expected \$1 million in FY98 and \$1 million in FY99 from State/ARA for ICITAP, there will be ample funding to reach the adjusted justice reform results, and no new funds are presently sought for those years.

However, as stated earlier, if the DAEC agrees, USAID/Colombia would conduct a program review with the new GOC in the last few months of Calendar 1998. Depending on the outcomes, a new USAID/Colombia Strategic Plan (SP) would be presented in early 1999. We have proposed that such an SP would take us through FY 2003, and would require the assignment of resources for FY 2000 and beyond. The SP could be submitted with an FY 1999-2001 R-4 which would be due at about the same time.

Thus, while this R-4 does not now specifically seek funding for FY 2000, we expect to do so by the second quarter of FY 1999, assuming:

- a) that the DAEC and the AA/LAC recommend preliminary extension of this Mission at least through FY 2000 after the June R-4 review,
- b) the Administrator agrees, and,
- c) the political situation and the programmatic prospects under a new Colombian administration warrant continuation beyond FY 2000. Therefore, for purposes of Bureau budget planning for FY 2000, we are positing the figure of an additional \$1,000,000 in ESF. Alternatively, if that amount could be programmed to come from DA funds, that would be our strong preference.

## **Special Objective - Environment**

This restructured Special Objective is expected to operate without major new funding, as most of the programmed actions in support of IR 1 are in the nature of policy dialogue and intergovernmental negotiation. Any studies necessary to support most elements of the reform planning and process can be funded by the EAI Americas Fund, presuming the GOC is in agreement. If the particular study or consultancy is seen as essential only by the USG Representative, it will be funded from USAID/Colombia PD&S Local Currency. While this resource is adequate to take us through FY 99, any activities directly funded by USAID/Colombia thereafter will require new DA funding in FY 2000.

For IR 2, the effort to build a series of productive environmental relationships between public and private sector institutions in Colombia and the U.S., we also have available local currency through FY 1999. AS we have noted, the Local Currency will be virtually exhausted by the end of FY 99. To continue thereafter, we are seeking a provisional amount of \$250,000 in FY 2000 DA funding for the SpO. The projection for these activities will be clarified in the Strategic Plan submitted in early FY 99.

## **Program Funding Tables**

## B. PRIORITIZATION OF OBJECTIVES

Here the Mission simply reiterates that the principal justification for continued USAID presence remains the judicial reform program encompassed by our only present full Strategic Objective. The Colombian reform process that the JSRP was designed to support and accompany has achieved major structural advances. But the central element, the establishment and consolidation of a fully accusatorial criminal investigation and trial system, is incomplete and partially stalled. the fundamental causes are want of adequate preparation for its enactment in 1991 and want of decided Colombian justice sector leadership now to press through and overcome lingering opposition and unenthusiastic attitudes from the legal culture to the conclusion. The former problem cannot be remedied, but if new leadership emerges after the August 7, 1998 change in government, the momentum may be regained. We expect to approach the new GOC to discuss the strategy they would employ to move ahead and complete the transition to an accusatorial system in their 1998-2002 term. If a clear vision and a definite plan emerge, we would consider the advisability of another phase of the JSRP to support the new GOC.

Notwithstanding the foregoing, our revamped Environmental Special Objective takes on new importance in the next two years, since we will be involved in both a knotty renegotiation of the EAI Framework Agreement and a subsequent process that will try to assure that the new structures actually work. Furthermore, the relationships we propose to foster between American and Colombian Environmental institutions will need nurturing to realize full potential.

## C. LINKAGE WITH CENTRALLY FUNDED MECHANISMS

Special Objective:

- \* GreenCom - to develop environmental educational programs among ECOFONDO and its affiliated NGOs - **Failed to meet** due to the crisis ECOFONDO is facing, USAID/Colombia has put this on hold and has been working in the identification of another Colombian organization that has experience and expertise in such activities. USAID/Colombia has contacted CIAT (International Center for Tropical Agriculture) to define its interest in developing the program. **Mission would like to keep the committed funds to support environmental activities in the country.**
- \* WWF - to develop educational programs to help ECOFONDO's and its affiliated NGOs. At the end of fiscal year 1997 a proposal was presented to USAID/Colombia by WWF, the proposal was reviewed and analyzed but did not comply with USAID/Colombia criteria to support educational environmental activities.
- \* TNC to continue working with Parks in Peril Project (centrally funded projects) a Local Currency Agreement was signed on Sept/97 to provided support to TNC in the compliance of activities that are being carried out under the PIP Program.

### **Field Support Table**



## **D. WORKFORCE AND OE**

### **OE BUDGET REQUEST NARRATIVE**

#### **Overview of FY98 estimate:**

The level established by USAID/W is sufficient to cover our FY98 planned expenditures with slight increases in some of the Object Class Expenses (compensated with some decreases in other Object Classes), as follows:

#### **OC 21.0**

The following factors drive our increased estimate for this OC:

- 1) RCO has provided an analysis of training requirements for the local staff engaged in contract, procurement, etc. At present, the Mission is largely out of compliance and virtually everyone needs further training to be certified for many of the tasks they now perform.
- 2) The EAI Americas Fund environment program has had major management problems that our office has had to become deeply involved in solving, and which will require a higher level of RLA and perhaps RCO TDY support.

To continue and intensify the implementation of the Justice Sector Reform Project, we have required the negotiation of: 1) a contract with Management Sciences for Development; and 2) a new unitary DOJ agreement under FAA Section 632 b). These have needed more frequent assistance from our RCO, RLA, CONT and EXO, all of whom are located outside Colombia, and other external TDY's from IRM in Washington.

- 3) USAID Financial Management changed the policies for the management of host government owned/USAID Local Currency. This has meant that all parties involved in management of the Trust Fund (USDO/Charleston, Cont/Quito and USAID/Bogota) have needed to interchange visits for the proper transfer of accountability, now achieved.

#### **OC 23.3**

USAID/Bogota has to adhere to the new Radio Communication Program that the Embassy will install in the near future. Our current units will not work, and the purchase of several units of new equipment has been necessary to comply. Completion of the new installation is expected by early June, 1998.

#### **OC 31.0**

According to suggestions made by IRM-Washington, the future of the Banyan Vines Operating System is questionable and may not be a viable investment beyond 1997.

To keep up with the current technology, all missions around the world, including USAID/Colombia, under IRM/Washington supervision, have already started a migration plan to bring the existing equipment up to today's standards. The plan consists primarily of the upgrading of the PCs memory, replacement of some obsolete equipment, upgrade of PCs operating system (to Windows 95), installation of new application package (MsOffice 97), and the final phase, the migration to the new Network Operating System (Windows NT).

#### **Overview of FY99 request:**

The increased requirements for FY99 as compared to FY98 are due to the USAID/Colombia request to augment its ceiling by one person, a USPSC (administrative and financial) and the establishment of the Executive Assistant position, (above, third paragraph). Also FY99 numbers are affected by the assumption that the present USAID Director's tour of duty will expire and that he will be replaced, implying transfer and new post assignment costs.

The level already established by AID/W in its e-mail dated October 17, 1997 (\$ 1,100,000) is sufficient to cover to the end of F 99 even with our new requirements.

#### **Overview of FY 2000 estimate:**

This exercise assumes that USAID/Colombia activities will be extended to F 2000 and beyond.

The F 2000 estimate is within the same approximate level of expenses as FY99 mainly because the F 2000 estimate does not contemplate any transfer and/or post assignments.

There is as yet no level established by USAID/W for F 2000.

#### **Summary of Trust Fund use**

In accordance with the AID/W instruction in e-mail dated March 18, 1998 (for purposes of this exercise only), we first are applying funds allotted to the PD&S program under Trust Fund for the projected OE expenditures and then allotting the remaining balance for PD&S program support activities.

The general view of the results of this action follows:

Description	FY-98	FY-99	FY-00	Total
Projected OE TF expenditures	\$499.0	\$679.3	\$675.2	\$1,853.5
OE TF funds available, per our estimates	\$905.0	\$127.2	\$81.9	\$1,114.1
Shortfall OE TF funds				\$739.4

Our projected program cost for PD&S funds through F 00 is \$2,390.5, but since our OE projected expenditures exceed the availability for these three FYs, we would have to take the OE shortfall money from the PD&S activities program. If that does not change, PD&S funds for programs will be cut by \$ 739.4. Hence the results for PD&S will be as follows:

Actual PD&S Status Projected:

Description	FY-98	FY-99	FY-00	Total
Projected PD&S TF expend.	1,249.5	720.9	420.1	2,390.5
PD&S TF funds available	1,333.1	975.5	81.9	2,390.5
Funds available for PD&S program beyond FY-00				0

Status of PD&S funds after the transference to OE TF

Description	FY-98	FY-99	FY-00	Total
Projected PD&S TF expend.	1,249.5	401.6	0	1,651.1
PD&S TF funds available	1,333.1	975.5	81.9	2,390.5
Transference to OE TF				739.4

While the Mission has the flexibility to effect the foregoing reallocations, we nevertheless wish to alert the Bureau and USAID/W to the fact that the Local Currency Trust Fund is our only flexible and rapidly deployable funding source in a quickly changing atmosphere. Over the last several months, we have turned to it repeatedly for quickly entering and progressively intensifying our programming and preparatory studies in the Peace Process, Human Rights and Displaced Persons, and Alternative Development, in addition to adding support to JSRP dollar funded activities.

So, to the extent that these and other projected USAID/Colombia activities now slated for PD&S program funding are found essential for F 99 and beyond, we will be requesting added DA for our programs via the 1999-2003 Strategic Plan.

**Justification for the FY 1998 through FY 2000 WF Request:**

As explained in our F-99 BBP Submission, in the last USAID/Colombia wind-up plan, the Environment Special Objective was to be phased out as of the end of F-98, and consequently the WF would have been reduced in FY99. As driven by recent events, a radically revised programming scenario is projected.

USAID/Colombia requests your approval to continue operating with the ceiling of 20 people, increased with the requested USPSC, through F-2000. This ceiling is required because the Environment Special Objective has been reinvigorated starting in FY98 and may well be converted into a full Strategic Objective.

## **Operating Expenses Tables**

## **Workforce Tables**

**Trust Funds & FSN Separation Fund Table**

### **Cost of Controller Operations Tables**



## **ANNEXES**

**Annex A.**  
**Common Objectives Matrix**

## COMMON OBJECTIVES

Development Assistance Committee (DAC) of the Organization for Economic Co-operation and Development (OECD),  
United States Agency for International Development in Colombia (USAID/COLOMBIA), and the Government of Colombia (GOC)

DAC GOALS	USG NATIONAL INTERESTS/Strategies	SUMMIT OF THE AMERICAS	GOC TARGETS	USAID/COLOMBIA TARGETS (1999)
<p>DAC goals relate to education &amp; health and gender issues within these goals. Mission's goals relate rather to the <b>Qualitative factors to achieve the goals:</b></p> <ul style="list-style-type: none"> <li>- Increased capacity for effective, democratic and accountable governance</li> <li>- Protection of human rights.</li> <li>- Respect of the rule of law.</li> </ul>	<p>I. National Security IV. Law Enforcement V. Democracy VII. Global Issues 9. Minimize the impact of international crime. 10. Reduce the levels of illegal drugs entering into the United States. 11. Reduce international terrorist attacks. 12. Adherence to democratic practices and respect for human rights, 13. Minimize the human costs of conflict and natural disasters. 14. Secure a sustainable global environment. 16. Protect Human health and reduce spread of infectious diseases</p>	<p>I. PRESERVING AND STRENGTHENING THE COMMUNITY OF DEMOCRACIES OF THE AMERICAS 1. Strengthening Democracy 2. Promoting and Protecting Human rights 3. Invigorating Society/Community Participation 5. Combating Corruption 6. Combating the Problem of Illegal Drugs and Related Crimes. 7. Eliminating the Threat of National and International Terrorism</p>	<ul style="list-style-type: none"> <li>- Technical assistance and human resources to strengthen the judicial system</li> <li>- Greater access to justice services</li> <li>- Crime prevention and support to the victims of crime</li> <li>- Reduction of impunity, completion of sentences and rehabilitation of the criminal.</li> <li>- National plan to eradicate drugs</li> </ul>	<p>Strategic Objective. Improve the effectiveness of the Colombian Criminal Justice System.</p> <ul style="list-style-type: none"> <li>- Improved perception of the criminal Justice system by 40% of the justice officials (judges, prosecutors, public defenders, judicial investigators) as a result of the application of modern judicial techniques and oral procedures. (75% by 2003)</li> <li>- A functioning restructured judicial school training judges and magistrates in the use of oral procedures. (Implemented in 80% courts by 2002)</li> <li>- A single curriculum developed and adopted by the three main judicial police academies</li> <li>- A prosecutors manual developed (80% implemented in 2001)</li> <li>- Criminal cases resolved in a more effective manner in key special national units which handle major crimes such as: money laundering, human rights, property forfeiture, and corruption. (20% increase in cases resolved by 1999)</li> <li>- An increase of 6 cases per public defender (30 by 2003).</li> <li>- Increment of 30% in the number of users of the Houses of Justice (Centers providing a variety of justice services promoting the use of ADR).</li> <li>- Civil society organizations participating more actively in justice issues</li> </ul>
<ul style="list-style-type: none"> <li>- The current implementation of national strategies for sustainable development in all countries by 2005, so as to ensure that current trends in the loss of environmental resources are effectively reversed at both global and national levels by 2015</li> </ul>		<p>IV. GUARANTEEING SUSTAINABLE DEVELOPMENT AND CONSERVING OUR NATURAL ENVIRONMENT FOR FUTURE GENERATIONS 21. Partnership for Sustainable Energy Use 22. Partnership for Biodiversity 23. Partnership for Pollution Prevention</p>	<ul style="list-style-type: none"> <li>- Promote a new culture of sustainable development</li> <li>- Improve the quality of life.</li> <li>- Promote a clean production system</li> <li>- Develop a sustainable environmental management.</li> <li>- Educate citizens in better environmental behavior.</li> </ul>	<p>Special Objective: Improve management of environmental endowments and other natural resource funding mechanisms to ensure long-term, sustainable financing</p> <ul style="list-style-type: none"> <li>- An effective organization in place to administer the Americas Fund.</li> <li>- 240 environmental and child survival projects approved and under development .</li> <li>- 6 Productive institutional links established between U.S. and Colombian public and private organizations.</li> </ul>

**Annex B.**  
**Closeout Plan**

## **CLOSEOUT PLAN USAID/COLOMBIA**

This submission responds to the directive to prepare a Closeout Plan for ceasing operations as of September 30, 1999. The Colombia Country Team believes, however, that USAID/W's current plan to close USAID/Colombia by September 30, 1999 is premature, if not ill-founded. As is made clear in the Mission Performance Plan, continued USAID/Colombia involvement is critical to meeting the Country Team's overriding goals in Counter-Narcotics, Human Rights, and Democracy as well as important in aspects of the Country Team's Economic Reform goal. USAID/Colombia's justice sector Strategic Objective is directly supportive of the USG's principal foreign policy concern in Colombia, counter-narcotics, and its environment Special Objective is directly supportive of that foreign policy global concern.

In addition to not being available to play a part in any peace process that might develop or assist displaced people should USAID/Colombia close by September 30, 1999, important results, as discussed in Part I of the R4, will not be achieved under the currently approved Democracy Strategic Objective and the Environment Special Objective. Under the former, support to the regional prosecutors incorporation into the ordinary system will not take place, the regulations on orality will not have been approved, the Public Defense Office will not have been completely restructured, Houses of Justice will not have been made official local level policy, nor will Civic education courses be integrated into school curricula. Under environment, new administrative and management systems for the Environmental Fund established under the Enterprise for the Americas Initiative will not have been tested (they will have had only six-to-nine months of use) putting the \$45 million currently on deposit and approximately \$8 million additional to be deposited through 2002 at risk.

In view of the above, while this Plan is complete, it should be considered only a first draft proposal submitted to USAID/W in accordance with ADS 527.6.s2, and following the formats used for closing out USAID/Chile and USAID/Uruguay-Argentina. Pending the final determination to close USAID/Colombia, and given the level of effort to fully vet each item of the Closeout Plan and the checklists on how to close a USAID mission, neither the RLA and RCO in Lima, nor the EXO and CONT in Quito, all of whom are involved in supporting USAID/Colombia and who will have major roles in its closeout, have been consulted in preparing this Plan. We believe that critical step can best be accomplished by convening a workshop in Bogota of all concerned offices in November. In addition to those regional support offices, representatives from FM, G/DG, G/ENV, and the following LAC offices all should be present: SAM, DP, SPM, EMT, CONT, DG, and RSD. Each of those offices should budget the OE funds necessary to attend the workshop.

The status of individual strategic objective activities and of the Management contract are discussed, respectively, in Parts II and Part III of the R4. The Global and LAC Bureaus canvassed in December 1997 and March 1998 to assure all in-country activities are reported. The results of those efforts are reflected in the Global Field Support Table in Part IV of the R4. In addition to this Closeout Plan this submission provides, subject to the results of the

November workshop, a Provisional Draft Closeout Operational Plan for an orderly termination of activities and personnel, and disposal of property. Also provided are the Closeout Checklists annotated with anticipated action responsibilities. As cautioned in the ADS, these "should not be viewed as comprehensive, all inclusive how-to-guides, but are to be used in conjunction with the mission specific plan in assuring that the basic areas are covered. The closeout procedures should be adjusted as necessary to meet special activities and circumstances."

All but three of the fifteen FSN personnel currently on USAID/Colombia's staff will be terminated by **July, 1999**. The three remaining FSN staff will close the books on USAID financed activities in Colombia and USAID's involvement with the Colombia Council of the Americas on September 30, 1999. The one PASA employee covered under USAID/Colombia's staffing pattern is an advisor from the Department of Justice's OPDAT. He will depart by **June 30, 1999** as will the only USDH at post, the USAID/Colombia Representative. Remaining USG-only responsibilities will be turned over to USAID/Ecuador and the Embassy/Bogota.

RLA and RCO responsibilities already are covered by USAID/Peru and Controller and EXO responsibilities already covered by USAID/Ecuador so no particular additional, uncovered responsibilities should result from closeout of USAID/Colombia except for USAID specific personnel issues regarding FSNs.

The U.S. Government's membership on the Colombia Council of the Americas directing the \$45 million currently on deposit in the Environment and Child Survival Fund established under the Enterprise of the Americas Initiative, and the \$12 million additional scheduled to be deposited through 2002 will be turned over to the Department of Treasury/Department of State designee by **March 31, 1999**.

**CLOSEOUT OPERATIONAL PLAN  
USAID/COLOMBIA  
(Provisional Draft as of May 1998)**

<b>YEAR/MONTH</b>	<b>ACTION</b>	<b>RESPONSIBLE OFFICE/PERSON</b>
1998:		
February	Inventory USAID warehouse identifying Program, OE and/or Trust Fund financed materials and NXP	USAID/Quito/EXO
June	Determination regarding closeout date	DAEC: AA/LAC, M, PPC, G, BHR, and GC
November	Closeout workshop attended by regional support team members (RLA and RCO Lima, EXO and CONT Quito ) and USAID/W team members (FM, G/DG, G/ENV, and the following LAC offices: SAM, DP, SPM, EMT, CONT, DG, and RSD)	USAID/Colombia, Environment Program Assistant
December	Preparation of final Mission Operational Plan for closing out assistance activities	USAID/Colombia, USAID Representative with assistance from regional support team members (RLA and RCO Lima, EXO and CONT Quito )
	Consult with Colombian legal experts and AMEMBASSY Bogota regarding Colombian labor law and practices to be followed in terminating Colombian nation employees	RLA out of USAID/Peru and EXO out of USAID/Ecuador
1999:		
January	Advise LAC and Global Bureau cooperating partners of USAID/Colombia's closeout and need to terminate regional and centrally supported activities or make alternative monitoring and/or management arrangements.	USAID/Washington, Global and Latin America and Caribbean bureaus

**CLOSEOUT OPERATIONAL PLAN  
USAID/COLOMBIA  
(Provisional Draft as of May 1998)**

	<p>Advise Department of Justice of the date for:</p> <ul style="list-style-type: none"> <li>• termination of ICITAP and OPDAT supported activities;</li> <li>• departure of ICITAP and OPDAT advisors</li> </ul>	LAC in collaboration with State ARA and INL and M/OP
	Provide Department of State with required six months notice of withdrawal from FAAS/ICASS services	LAC/EMT
	Advise Management Sciences for Development (MSD) of the date all activates they support must terminate.	RCO out of USAID/Peru
	Reach agreement with AMEMBASSY Bogota that USAID FSNs will be given priority in filling any openings throughout the U.S. Mission.	USAID/Colombia, USAID Representative
	Advise USAID/Colombia FSN staff of their release date	EXO out of USAID/Ecuador
	Contract with local provider of out placement service to provide FSNs assistance in resume writing, job searches, etc. at USAID expense.	RCO out of USAID/Peru
February	<p>Advise Department of State and Department of Treasury that:</p> <ul style="list-style-type: none"> <li>• the USAID/Colombia Representative no longer will be able to be the USG's representative on the Colombian Council of the Americas under the Enterprise for the America's Initiative; and</li> <li>• other arrangements must be made by ???March 31???, 1999 to safeguard the \$45 million on deposit in the Fund and the addition \$12 million to be deposit through 2002</li> </ul>	AA/LAC



**CLOSEOUT OPERATIONAL PLAN  
USAID/COLOMBIA  
(Provisional Draft as of May 1998)**

	Discuss USIA/Bogota taking-on the follow-up of returned participants responsibilities outlined in the Closing of Missions Checklist.	USAID/Colombia, USAID Representative
	Inform USIA's Bureau of Educational Affairs of the closeout of USAID/Colombia.	G/HCD/HETS, monitored by LAC/SAM.
1999	MSD ceases activities	
1999	OPDAT ceases activities	
1999	ICITAP ceases activities	
1999	Program Assistant is released	
1999	Financial Analyst is released	
1999	Voucher Examiner is released	
1999	Driver is released	
1999	Project Assistant (Environment) is released	
1999	Project Assistant (Justice) is released	
1999	Clerical Assistant is released	
1999	Senior Program Specialist is released.	
1999	Monitoring and Evaluation Specialist is released.	
1999	Executive Secretary is released.	
1999	Secretary is released	
1999	OPDAT Secretary is released	
1999	OPDAT Driver is released.	
1999	Environmental Advisor is released	
1999	Computer Management Administrative Assistant is released.	

## **CLOSING OF MISSIONS CHECKLISTS FOR NORMAL CLOSEOUT**

### **I. REVIEW OF MISSION CLOSEOUT PLAN**

The Closeout Plan will be reviewed in USAID/W. Reviews will be chaired by the cognizant regional bureau with the participation of the Bureaus for Management (M), Policy and Program Coordination (PPC), Global Programs (G), and Humanitarian Response (BHR), and the Office of the General Counsel (GC). For all exit country strategies, an Action Memorandum summarizing the plan's salient features, as modified by the review, along with any outstanding issues, will be submitted to the Coordinator for Overseas Restructuring (AA/M) for approval.

### **II. PREPARATION OF MISSION OPERATIONAL PLAN**

Upon approval of the Mission Closeout Plan for closing out assistance activities, the Mission Director prepares an operational plan for closing out the USAID. The Mission Director's plan conforms with and implements the Mission Closeout Plan assistance activities and includes provisions covering:

- o The retention of sufficient and suitable staff members and the delegation of authority and assignment of specific responsibility to each to carry to completion the required closeout action with respect to each assistance activity in accordance with the plan and the time schedule.
- o The estimates of personnel, space, and funds required to complete the closeout, taking into account the reduction possible by each successive stage of the plan.
- o The timetable for the phasing out, transferring, or terminating U.S.direct-hire, participating agency, and contract personnel and replacement of assistance from other resources.
- o The action for terminating services of cooperating country and third country national employees.
- o A monthly timeframe/activity projection for the entire closeout period of major activities that must occur.

COMMENT: A Provisional Draft Operational Plan is included with the FY 2000 R4. A final will be provided after the Closeout Workshop proposed for November 1998.

Completed      Date \_\_\_\_\_

### III. Personnel Checklist

o On receipt of final USAID/W determination that the USAID Mission is to close, the Mission Director may, unless otherwise instructed by USAID/W, inform all employees of the pending action. The following steps should be followed by a closing Mission:

COMMENT: All USAID/Colombia employees have been informed of the Washington plan to close the mission by September 30, 1999.

o For U.S. Direct-Hire Employees, Mission:

(1) Submits to USAID/W a tentative transfer schedule for each employee.

COMMENT: USAID/Colombia has only one USDH employee, the USAID Representative. The Provisional Draft Closeout Operational Plan submitted with the FY 2000 R4 suggests a tentative transfer date of ???June 1999???.

Completed Date \_\_\_\_\_

(2) Submits a list of all PASA employees to the Office of Procurement (M/OP) in USAID/W for referral to the parent agency for action.

COMMENT: Only one PASA employee is charged to USAID/Colombia, a Department of Justice OPDAT advisor.

Completed Date \_\_\_\_\_

(3) Has each employee submit a cabled COAR to USAID/W, if not already submitted as part of the normal reassignment process.

COMMENT: USAID/Colombia has only one USDH employee, the USAID Representative. A COAR will be submitted at the appropriate time.

Completed Date \_\_\_\_\_

(4) Request from USAID/W authority to issue travel authorizations as appropriate.

COMMENT: This will be done by EXO USAID/Ecuador at the appropriate time.

Completed Date \_\_\_\_\_

o For Cooperating Country Employees and Third Country Nationals, Mission:

(1) Conducts termination procedures in accordance with ADS 400 and the approved

local compensation plan to include monitoring any outstanding issues for local FSN pension plans.

COMMENT: USAID/Colombia has no Third Country National employees. There are fifteen FSN employees, two are covered by CSRS, eleven are subject to Colombian Labor Law, and two are subject to Green Card Holder's Regulations. Termination procedures will be conducted in accordance with ADS 400, the local compensation plan, and Colombian labor laws. A January 28, 1998 Julia de Contreras to Carl Cira USAID/Colombia Memorandum outlines provisions of annuity policies under CSRS and Colombian Labor Law. EXO USAID/Ecuador and RLA USAID/Peru will cover USAID specific personnel concerns and Embassy Colombia will provide assistance concerning local compensation plan and Colombia labor law concerns. A local attorney also will be consulted to assure provision of Colombia labor law are covered.

Completed      Date \_\_\_\_\_

- (2) Provides maximum practical assistance to employees to secure new employment as appropriate.

COMMENT: The Provisional Draft Closeout Operational Plan calls for contracting a local out placement service to provide FSNs assistance in resume writing, job searches, etc. at USAID expense.

Completed      Date \_\_\_\_\_

#### **IV. FINANCIAL MANAGEMENT CHECKLIST**

The USAID/W approved Program Close Out Plan and Schedule should be a working document in the orderly close down of financial activities at the mission. It is also important to consult the termination provisions of the bilateral agreement, project/activity agreements, trust fund agreements, contracts, grants, etc. to determine any special procedures that may be necessary.

The Office of Financial Management (M/FM) in Washington will designate another mission or office to assure responsibility for residual Controller functions and will advise other missions of the close out and the name of the mission or office assuming residual financial functions. The action of designating another mission should take place at the time of approval of the Program Close Out Plan and Schedule.

COMMENT: Controller USAID/Ecuador already provides Controller functions for USAID/Colombia.

#### **AUDIT MANAGEMENT**

- o Have all open audit recommendations been followed-up and reasonable attempts made to

close them?

COMMENT: Currently USAID/Colombia has not open audit recommendations. Controller USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

## **PIPELINE REVIEWS**

1. Have detailed listings of all unliquidated obligations been prepared and continually updated to assist in the final close out?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

2. Have activity pipeline reports, PO6B and A05, been issued to help identify slow moving activities and funds to appropriate mission officials?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

3. Have steps been taken to insure that the 1311 process includes participation of activity officers and communication with vendors and contractors?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

4. Has the activity portfolio been reviewed recently by mission management to identify potential deob amounts?

COMMENT: Controller USAID/Ecuador will assist the USAID Representative in Colombia in monitoring and implementing this.

Completed      Date \_\_\_\_\_

5. Have uncommitted earmarks and commitment reservations been reviewed to insure validity and sound activity management?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

6. Is the list of open reservations current?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

#### CLAIMS AND LITIGATION

- o Have necessary arrangements been made for continuing communications among local counsel, the US Embassy and USAID?

COMMENT: RLA USAID/Peru will monitor and implement this.

#### PROPERTY

1. Review the real property ledger and personal NXP ledgers for completeness. Are all the receiving and disposal reports being posted on a current basis?

COMMENT: EXO USAID/Ecuador will monitor and implement this. An inventory of the USAID/Colombia's warehouse was completed in February 1998 to identify Program, OE and Trust Fund financed materials and NXP.

Completed      Date \_\_\_\_\_

2. Has a current reconciliation been made with the EXO records?

COMMENT: EXO USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

Undertake a physical inventory? Convene a survey board to take actions as a result of the physical inventory.

COMMENT: EXO USAID/Ecuador will monitor and implement this. Also, see 1. above.

Completed      Date \_\_\_\_\_

3. Review property disposal. Is excess OE property sold by public auction to maximize return to the USAID property replacement account?

COMMENT: EXO USAID/Ecuador will monitor and implement this.

Completed      Date \_\_\_\_\_

4. Has the final U-754/1 been filed?

COMMENT: EXO USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

## REPORTING

1. Are SF 1221s on disbursement transactions being received, reconciled promptly, and reported on the U-101?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

2. Are procedures in place to ensure receipt and reconciliation of 1221's from all potential USDOs?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

3. Are copies of all recent reports maintained and readily accessible for reference?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

4. Is appropriate follow-up action taken on unaccepted AOCs (outgoing and incoming)?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

5. Are trust fund reports submitted in accordance with the trust fund agreement?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

6. Check FM's listing of cumulative G-2 balances. Are steps being taken to reconcile the differences identified?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

7. Review outstanding suspense accounts amounts. Are outstanding amounts being cleared promptly? Does missions's net/reconciling amount agree with M/FM/CARD totals?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

8. Review mission PFAR reports and unliquidated balances on the P06B report with the quarterly DA01 report. Are differences being reported to FM?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

9. Are internal generated reports prepared and distributed to mission staff for their use?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

10. Have final financial reports been prepared and submitted to USAID/W?

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

## **TRUST FUNDS**

1. Has the mission developed a budget for OE trust fund to cover all obligations to be paid from these accounts and made plans to return any excess to the host government?

COMMENT: USAID/Colombia is current in budgeting OE trust funds. Controller USAID/Ecuador will assist in monitoring and implementing this.

Completed Date \_\_\_\_\_

2. Has the mission budgeted for program trust fund requirements during the close out period?

COMMENT: USAID/Colombia is current in budgeting OE trust funds. Controller USAID/Ecuador will assist in monitoring and implementing this.

Completed Date \_\_\_\_\_



3. Has the mission corresponded with the host government about disposition of property funded with trust funds?

COMMENT: This will be done at the appropriate time with the assistance of RLA and RCO USAID/Peru and Controller and EXO USAID/Ecuador.

Completed Date \_\_\_\_\_

4. Are all costs being charged to trust funds allowable under the agreement? Is mission maximizing use of trust funds?

COMMENT: RLA USAID/Peru and Controller EXO USAID/Ecuador will assist in insuring this. USAID/Colombia is current in budgeting OE trust funds.

Completed Date \_\_\_\_\_

5. Are trust fund reports submitted in accordance with the trust fund agreement?

COMMENT: USAID/Colombia is current in budgeting OE trust funds. Controller USAID/Ecuador will assist in monitoring and implementing this.

Completed Date \_\_\_\_\_

6. Have procedures been established to manage trust fund billings and collections? (Trust fund billings are not included in the U-141 Report).

COMMENT: Controller USAID/Ecuador will monitor and implement this.

Completed Date \_\_\_\_\_

## **OPERATING EXPENSES**

1. Has the mission given the required six months notice of withdrawal from FAAS services? Has responsibility been assigned to review the FAAS workpapers and workload counts?

COMMENT: This will be done at the appropriate time. The Provisional Draft Closeout Operational Plan suggests this be done in January 1999.

Completed Date \_\_\_\_\_

2. Are lease agreements being properly terminated and advance payments held to a minimum?

COMMENT: This will be done at the appropriate time with the assistance of RLA

and RCO USAID/Peru and Controller and EXO USAID/Ecuador.

Completed Date \_\_\_\_\_

3. Are LQA and educational allowances provided in advance and if so, have employees submitted documentation to support the total amount provided?

COMMENT: This will be done at the appropriate time with the assistance Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

4. Is there a system in place to monitor the collection of refunds that USDHs receive from insurance companies on costs incurred and initially paid by USAID for medical evacuations and have employees been requested to file timely?

COMMENT: This will be done at the appropriate time with the assistance Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

5. Are salary, leave, severance, and other final payments to local employees covered under current-year budgets?

COMMENT: These costs have been calculated by USAID/Colombia. This will be done at the appropriate time with the assistance Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

### **Advances**

1. Have grants/coop advance holders been advised to remit interest earned on interest bearing accounts on a current basis? Has the mission issued B/Cs to grantees etc for overdue advances?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

2. Have employees been informed in writing to file vouchers or otherwise clear up all advances over 30 days old?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Have adequate files been established to document the follow-up on overdue advances to host country recipients and contractors?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Are project officers being kept informed on the status of advances under their project(s)?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Are procedures in place to insure the timely transfer of copies of collection documents from the cashier whether it is JAO or USAID to insure proper accounting treatment of repayment of advances?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

6. Has the mission reviewed or developed checkout procedure that precludes US (DHs and PSCs) employees departing post or FSNs terminating employment without clearing all outstanding advances with the controller.

COMMENT: USAID/Colombia is current regarding checkout procedures. Any additional actions required will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

7. Is the mission employing judicious and proper write off technique of advances occurs when cost of collection action will exceed anticipated proceeds? The proper method is to expense out the advance, issue the bill for collection (B/C), and than follow the B/C write off guidance.

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

8. During the last month of operation, has the mission assembled or reviewed and updated documentary file of all advances?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

#### Accounts Receivable

1. Is the mission system of control adequate to provide for prompt billings and timely collections of all amounts due the USAID?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

2. Are appropriate instructions and procedures issued to clearly identify the offices which have responsibility for issuing B/Cs?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

3. Is a monthly report issued and distributed to management listing all of the outstanding B/Cs ?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

4. Are USAID/W reports (Quarterly Status of Outstanding Billings Report) reconciled with USAID records and appropriate action taken on any differences?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

5. Are there procedures to determine if billings are prompt and collections timely. Is there a system for vigorous follow-up on outstanding item?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

6. Are interest and penalties assessed and collected? Are collections being credited to the proper account?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

7. Are U-141 reports to FM timely and accurate?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

8. Are procedures in place to bill for unofficial use of vehicles, telephones, etc.?

COMMENT: Yes.

Completed Date \_\_\_\_\_

9. Are uncollectible accounts written-off when appropriate and in accordance with USAID procedures?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

10. During the last month of operation, have copies of files on accounts receivable from foreign officials and private obligators (Report U-141a) that could become difficult to collect if USAID were to resume activities at a future date been sent to M/FM/CAR?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed Date \_\_\_\_\_

## Cashier Operations

1. Have miscellaneous cash funds held by individuals other than Cashiers or Alternate Cashiers been identified for closing?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Have arrangements for the closing of cashier accounts at outlying posts as quickly as possible been made?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Are unannounced cash counts being conducted at least monthly and verified that the amount on hand agrees with the cashier's accountability with the USDO?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Review level of cashier's advance. Is it adequate? Are reimbursements requested at least weekly? Has the controller conducted a yearly analysis to determine if the current account is adequate to meet cash requirements? Is the current level excessive?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Are there any cash payments that exceed the limit for any one transaction? Are emergency payments limited to not to exceed \$3000 and are the transactions approved by the EXO?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

Voucher Processing and Prompt Pay

1. Have local suppliers been advised to submit their invoices on a current basis?

COMMENT: This will be done at the appropriate time by RCO USAID/Peru in collaboration with Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Have employees been requested to submit pending travel claims for immediate settlement?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Have mission procurement staff been reminded to require all contractors/grantees to submit their invoices directly to the paying office?

COMMENT: This will be done at the appropriate time by RCO USAID/Peru in collaboration with Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Does the mission have a system that controls prompt payments and alerts the mission of potential late payments?

COMMENT: Yes.

Completed     Date \_\_\_\_\_

5. Review voucher processing procedures. Are controls adequate? Is there separation of duties to prevent fraud?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

6. Is the system for obtaining administrative approval of vouchers and receiving reports adequate?

COMMENT: Yes.

Completed     Date \_\_\_\_\_

7. During the last month, have documentary files of all unpaid invoices, travel claims, contracts, etc been assembled and prepared for shipment to the new accounting station?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **Loan Accounting**

1. Are mission loan memorandum records current and reconciled with FM/LM reports?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Are there any 620Q problems? If so, does the mission have procedures in place to monitor the situation?

COMMENT: There are no 620Q problems in USAID/Colombia.

Completed     Date \_\_\_\_\_

3. Has the controller established liaison with appropriate staff in the Embassy to monitor DOD debt?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Review any accruals against loan obligations to determine the appropriateness.

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. If loan repayments are being made locally, are payments being reported to FM/LM in a timely manner?

COMMENT: Interest payments into the Environmental and Child Survival Fund established under the EAI also will have to be monitored. With the closure of USAID/Colombia another U.S. agency will have to carry out these responsibilities.



Direct USAID payment concerns dealt with by at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

6. Have procedures for making and reporting participant accruals against loans been completed?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

7. Have reporting problems identified by FM/LM been resolved?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

8. Have complete, documentary files of all unpaid notices of payment due on loans been assembled for transferring to the new accounting station or loan servicing liaison officer?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

9. Have borrowers been notified of the office assuming loan servicing responsibilities?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

### **Payroll, FICA and Federal Income Taxes (FIT)**

1. Review payroll procedures and systems for USPSCs. Are appropriate FICA and FIT withholding records for all U.S. citizen employees (including non-resident aliens holding "green cards") accurate? Are completed W-4's on file for each employee? Have final W-2s been issued for all USPSCs as they depart post?

COMMENT: Currently, USAID/Colombia has no USPSCs. If any are hired, this will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Are quarterly 941 reports in one file and is sufficient information available in these files to answer any subsequent IRS inquiries?

COMMENT: See 1. above.

Completed     Date \_\_\_\_\_

3. Has the final 941 tax return notified the IRS that this is the final return and that subsequent actions are to be assumed by the designated mission?

COMMENT: See 1. above.

Completed     Date \_\_\_\_\_

4. Have final reports of FSN employees who are covered by Civil Service Retirement been prepared and submitted to USAID/W FM payroll office?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador in conjunction with EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Have any final returns required been filed with local tax authorities notifying them of FSN employees who will be terminated?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador in conjunction with EXO USAID/Ecuador and in accordance with the guidance of RLA USAID/Peru.

Completed     Date \_\_\_\_\_

6. Have payments been made to non-personnel service contractors and U.S. citizens employed under purchase orders reported by 1099's to the IRS?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

7. Have 1099's been issued for allowances and benefits paid directly by the USAID (including property or facilities furnished in-kind or paid to third parties) to U.S. citizen employees of institutional contractors or PASAs (exclude USDH or USPSCs)?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

8. Have costs for final FSN salary and benefit payments been determined and scheduled to assure that check are available on date of termination?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

9. Have Forms 760-23 (projected leave) been obtained from USDH employees prior to their departure from post?

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **Local Currency Management**

1. Are timely audits being conducted of the special accounts and end uses when required and are plans in place to continue this monitoring/oversight function?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Have the responsible host country agencies charged with accounting and reporting on host country-owned local currency been notified of the new location to send the reports?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Are special accounts established and the responsible agency reporting to the mission in accordance with the agreement(s)?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Have the appropriate accounting records to verify amounts deposited, withdrawals, and balance on hand been compiled and prepared for forwarding to the new accounting station?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Review reporting to FM via the U-205 Report. Is the report being prepared inclusive of all types of local currency activities and submitted in a timely matter?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **MACS and Accounting Records**

1. If the mission is served by a regional accounting center, have arrangements been made for timely receipt of MACS reports?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. If MACS is installed on site, has the potential turnover of critical staff been taken into consideration in continuing running the system?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Central security concerns of MACS are data integrity, prevention of unauthorized use of funds, and data availability and integrity. Are security issues being reviewed as the phasedown continues?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Review continued implementation of MACS. Are source documents well maintained?

Review internal controls and separation of duties as phase down proceeds.

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Review the procedures for issuance and control of user IDs and passwords. Are users being taken off the system as they leave the mission and are passwords being changed every three months?

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

6. Review the disaster recovery and continuity of operations plan for the post. Is the plan up-to-date and covers what must be done, when it must be done, who must do it, how it should be done, and what is needed to do the job, as it relates to the controller's operations?

COMMENT: This will be done at the appropriate time by OFDA.

Completed     Date \_\_\_\_\_

7. Has a determination been made where the off-site MACS backup tapes are kept at post and how often tapes are sent to this site?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **Transfer of Functions of Records**

1. Have plans been made to transfer mission Controller files and records to the new accounting station?

COMMENT: Controller USAID/Ecuador already provides services for USAID/Colombia and has files and records.

Completed     Date \_\_\_\_\_

2. Have periodic backup tapes of MACS database been made with one stored at post and the other forwarded to the new accounting station? Has the final tape been sent to M/FM/FO in Washington?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed      Date \_\_\_\_\_

3. Have mission controller books, files, and records been review to determine that there is sufficient detail to permit the receiving USAID mission or office to perform the residual or required financial functions?

COMMENT: This will be done at the appropriate time by Controller  
USAID/Ecuador.

Completed      Date \_\_\_\_\_

4. Has a memorandum to the receiving mission or office (Handbook 23, Ch.13, Exhibit A), plus a complete listing of all books, records, and files being transferred, with a copy to USAID/W, certifying the specific actions required and including the following verification statement been prepared?

COMMENT: Controller USAID/Ecuador already provides services for  
USAID/Colombia and has files and records.

Completed      Date \_\_\_\_\_

"I attest to the correctness and completeness of the books, files, and records being transferred from my responsibility to the USAID/\_\_\_\_\_ Controller's responsibility. The financial management close out procedures have been performed according to USAID ADS chapter 527, with the exception of the disclaimers and qualifications noted above."

5. Has the receiving mission assisted in the smooth transfer of financial operations to avoid, to the extent possible, a disruption of service and reviewed the complete listing of all books, records, and files against items actually received to ascertain that no items are missing in transit?

COMMENT: Controller USAID/Ecuador already provides services for  
USAID/Colombia and has files and records.

Completed      Date \_\_\_\_\_

### **Miscellaneous**

1. Has FM been requested to advise banks who have issued letters of credit that the mission

is scheduled to close on a given date? Are all letters of credit against USAID letters of commitment reconciled and the bank advised of the contact point for all communications/correspondence?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Do cash transfer or non-project assistance agreements require a dollar special account? Are systems in place to ensure that the balance of such accounts are being disbursed and used prior to the mission closing?

COMMENT: Colombia is not receiving assistance from USAID requiring dollar special accounts.

Completed     Date \_\_\_\_\_

3. Has the mission requested FM to discontinue all disbursements under non-project assistance agreements and cease all USAID/W disbursements under direct financing?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. If the mission operates a guest house, are operations scheduled to close and funds accounted for as early as possible before closing?

COMMENT: USAID/Colombia does not operate a guest house.

Completed     Date \_\_\_\_\_

5. Has FM been requested to provide the mission with a listing of all outstanding AOCs and to keep the mission informed monthly by FAX of all payments made on their behalf?

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

6. Have addresses, phone numbers, or contacts for mission employees been compiled and furnished to FM?

COMMENT: This will be done at the appropriate time by Controller

USAID/Ecuador.

Completed     Date \_\_\_\_\_

## **V. PROCUREMENT AND SUPPLY CHECKLIST**

### **USAID Mission Responsibilities**

1. Determine commodity requirements under close out schedule.

COMMENT: This will be done at the appropriate time with the assistance of EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Amend or terminate mission procurement or assistance instruments in order to ensure adequate but not excess commodities and/or services until the close out date.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru and EXO USAID/Ecuador and in accordance with the guidance of RLA USAID/Peru.

Completed     Date \_\_\_\_\_

3. Review open and blanket purchase orders to determine need for cancellation, revised delivery schedule, or other appropriate actions.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru and EXO USAID/Ecuador and in accordance with the guidance of RLA USAID/Peru.

Completed     Date \_\_\_\_\_

4. Curtail all new procurement other than for minimum needs through the final close out date.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru and EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Check and update procurement files for:

(1) open actions;



- (2) claims;
- (3) warranties and titles;
- (4) inventory records;
- (5) receiving and inspection reports; and
- (6) disposition instructions of commodities, spare parts.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru and EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

6. Determine disposition of procurement and supply files.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru and EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

7. Coordinate contract/grant audits with M/OP/PS/CAM.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru.

Completed     Date \_\_\_\_\_

8. Complete all contract close out requirements including technical office and Controller review prior to close out certification by responsible contract officer.

COMMENT: This will be done at the appropriate time in conjunction with RCO USAID/Peru and Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

9. Consider transfer of residual actions and contract/grant administration.

COMMENT: USAID/Colombia already is service by RCO USAID/Peru.

Completed     Date \_\_\_\_\_

## VI. PERSONAL PROPERTY CHECKLIST

1. Inventory all NXP personal property titled in USAID: issued/stored; program/administrative; appropriated/trust-funded; expendable/nonexpendable; property on loan; and contractor procured property.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. List quantity, description, and condition code (Handbook 23, Ch. 4, 6 FAM 220, Exhibit 227.3c) of expendable and nonexpendable property separately by object class on Form 5-73, Personal Property Disposal Record, and OF, 132, Property Disposal Authorization and Survey Report using separate forms for OE, program and trust funded property. Send lists to M/AS/OMS. Separate lists are also needed for ADP (See Redistribution Checklist below.) and IG/SEC/PS/SS.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. List passenger and non-passenger vehicles on a separate Form 5-73.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Dispose of OE property in accordance with the order of priority described in detail in Handbook 23, Ch. 4, App 4A, 6 FAM 227.3. All OE property is considered replacement property and is not to be designated excess. (If the condition of personal property is classified at or below 2, 5, 6, 8 and X, such property is to be disposed through sales and not redistributed to other missions): NOTE: Because of our continuing OE shortages, OE funded property is to be redistributed or sold. Grant-in-Aid, etc., are to be viewed as an exception warranting a strong justification.

(1) Redistribution to other USAID missions: Forward to M/OMS circularization to other missions in the area a list of property in condition good enough to warrant the cost of packing and shipping.

(2) Transfer to Other U.S. Government Agencies: Transfer property to other U.S. Government agencies overseas, with reimbursement set at fair market value (U.S. or local currency).

(3) Commercial Sale: Conduct sale by sealed bid or auction (retail or negotiated sale only when Property Disposal Officer can justify as being in best interests of the Government),

depositing proceeds to the 72-F-3845 account, OE, Program, Project, or Trust Fund property accounts.

(4) Transfer to Cooperating Government: Transfer to the cooperating government in the form of a project contribution or Grant-in-Aid using the format found at Handbook 23, Ch. 4, Personal Property Management.

(5) Donation: Donate to institutions and organizations eligible to receive donations as specified in Handbook 23, Ch. 4, App 4A (2FAM 227.3-5).

(6) Destruction or Abandonment: Utilize this method when all else fails.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

5. Dispose of trust-funded property in accordance with the terms and conditions of the Trust Agreement or other documents of understanding; generally, all personal property procured with trust funds will either revert to the cooperating government, or be sold with proceeds turned over to the cooperating government.

COMMENT: This will be done at the appropriate time by USAID/Colombia based on the guidance from RLA USAID/Peru.

Completed      Date \_\_\_\_\_

6. Dispose of all property in the custody of contractors which is titled in USAID in accordance with the procedures set forth for OE property above.

COMMENT: This will be done at the appropriate time by USAID/Colombia based on the guidance from RCO USAID/Peru.

Completed      Date \_\_\_\_\_

7. Dispose of project-titled property in accordance with the terms and conditions of the project agreement.

COMMENT: This will be done at the appropriate time by USAID/Colombia based on the guidance from RLA USAID/Peru.

Completed      Date \_\_\_\_\_

## **VARIOUS NXP PROPERTY REPORTS TO BE COMPLETED FOR SUBMISSION TO M/AS/OMS**

### **NXP Property Reports**

1. Form AID 5-73: Property Disposed of During FY {In section G, replace object class 312 by 313}

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Form OF-132: Report of Disposal of USAID Property {Note: this is no longer required to be sent to M/AS/OMS, but since mission is closing, please send it with the AID 5-73}

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Capitalized Property Report: {Submit a negative report showing there is no longer capitalized property at post}

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **Motor Vehicle Reports**

Send the following reports to (M/AS/OMS):

1. AID 5-197: Motor Vehicle Record - Use revision 4/92 only. Required when an OE-funded vehicle disposed/redistributed.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Annual Mission Motor Vehicle Inventory: Forward memorandum to M/AS/OMS/PM with a complete description of method of disposal, whether redistribution to another USAID mission; or transfer to another USG agency; or sale, and if sold, amount of proceeds less any commissions or sales expenses; if sold for scrap, specify the amount received; if abandonment is applicable, provide full explanation as to why. {Note: include copy of last year's Mission Motor Vehicle Inventory System printout (a copy may be obtained from OMS upon request) and show individual disposal dates. Memo should contain statement that the form(s) AID 5-197 (4/92) were forwarded to OMS.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

3. Form SF-82: Agency Report of Motor Vehicle Data: Should be completed up to date of disposal of last vehicle (include with memo described above).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

4. COBRA Report: Operating Costs for OE Vehicles should include all costs up to disposal date for each vehicle.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

#### **MOTOR VEHICLE RECORD FOLDER:**

The sending mission should ensure that the complete Motor Vehicle Record File is forwarded to the receiving mission to which the vehicle was redistributed.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

#### **USAID MISSION DIRECTOR RESIDENCE**

1. Representational Items: As early as possible, provide detailed list of all representational items (glassware, flatware, hollowware, china) including pattern, condition, quantity, as well as availability date to OMS/PM.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

2. Inventory: Memorandum to M/AS/OMS/OPM required stating disposition of all property sold or redistributed, including all property disposal documentation copies. Memo must include certification that Director's inventory has been zeroed.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

3. Report of Annual Cost of Operating Residence: Forward standard report format to M/AS/OMS/PM covering expenses through termination date of residential lease, or date of departure of Director, if property is owned, whichever occurs first.

COMMENT: This will be done at the appropriate time by EXO and Controller USAID/Ecuador.

Completed      Date \_\_\_\_\_

## **VII. DISPOSAL/REDISTRIBUTION OF ADP EQUIPMENT**

Due to the increasing number of mission closings and downsizings and the time-sensitive value of ADP equipment, the following checklist is being provided to expedite redistribution of ADP Equipment/Software/Supplies to where it is most critically needed.

The Agency goal, and one of the primary reasons for the development of detailed mission operational and program closeout plans, is to ensure efficient and timely disposal of all property (real and personal, including ADP NXP and ADP EXP) by the closing date of each mission. To meet this goal, priority must be given to preparation of an NXP inventory of items available for redistribution, sale or transfer. This is especially important for ADP NXP as this will effect receiving missions' ability to handle additional workload and requires advance planning, particularly for the VSAT and RS6000.

Please note that the designation for NXP is not "excess property" (though it may be excess to a particular mission's need), but rather "replacement property." Replacement property means such property is routinely replaced upon conclusion of the property life cycle. Proceeds from the sale of replacement property are returned to USAID and are used for property acquisition in the following fiscal year.

In accordance with Handbook 23, Chapter 4, M/AS/OMS is responsible for redistribution of all Agency property including ADP equipment. However, due to the highly technical nature of the CORE/VSAT and related equipment/software, OMS works closely with IRM to determine where these specific items should be transferred. For this reason, missions are asked to include M/IRM/CIS on e-mails/cables sent to OMS regarding transfer of ADP equipment. The following checklist is to be used for disposal/redistribution of ADP equipment:

1. Executive Officers in coordination with system managers:

(1) Prepare an inventory of all ADP equipment (preferably on Lotus1,2,3 spreadsheet) to be transferred/sold divided between redeployable and non redeployable equipment. Inventory should provide a complete description of item (type of equipment, make, model, version, serial no., whether DOS or Windows; LAN or non-LAN, number of nodes, etc.) quantity, general condition, and when items will be available for redistribution.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed Date \_\_\_\_\_

(2) Transmit completed list to M/AS/OMS and M/IRM/CIS, and also include it in the Closeout Plan in the case of closing missions.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed Date \_\_\_\_\_

(3) Once OMS and IRM has determine where items will be transferred and notify EXO's or other designated individuals of both the sending and receiving missions, EXO at losing post is to arrange and confirm all necessary shipping arrangements, and promptly completing required documentation/deletion from property records.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed Date \_\_\_\_\_

(4) Receiving mission is to provide funding for packing and shipping charges and for completing required receipt documentation and adding equipment to Mission inventory.

COMMENT: This will be done at the appropriate time by Controller USAID/Ecuador.

Completed Date \_\_\_\_\_

2. Executive Officers in coordination with system managers or other individuals as appropriate:

For Redeployable Equipment (Redeployable equipment includes Core equipment and current Agency standard equipment. Core equipment is hardware and software associated with core operations of the LAN, UNIX/RISC boxes and VSAT, including spare parts and supplies that were procured in direct support of LAN/UNIX/RISC/VSAT equipment. LAN core equipment can in some cases apply to 486 PCs already set up to work on the LAN. When redeploying/selling servers, reformat hard drive to remove all OS and application software. Receiving mission will rebuild to their specific needs.)

(1) Redistribute Core equipment as a complete package. It is necessary that M/IRM/CIS have at least eight weeks lead time to redeploy VSAT and RS600. An IRM direct-hire and/or contractor will handle the redeployment of all VSAT and RS6000 equipment.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(2) Transmit to M/AS/OMS with a copy to M/IRM/CIS all disposal documentation (AID5-73 and OF-132).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

NOTE: Core Software--if software is transferred to another mission or USG agency, the receiving agency is bound by the licensing agreement and is responsible for notifying the software company of the change in agency and address. No fees are applicable for such redistribution to another mission or transfers between USG agencies. For Non-Redeployable ADP Equipment (Sale or Transfer)(Non-redeployable ADP equipment is equipment that is no longer required by the Agency and includes: PCs, HP/II Laser Jet Printers and older model printers, LAN Servers with the small drive capacity (33) Wang Systems.)

(1) Offer items that are not current Agency standard to other USG agencies at post at fair market value and/or sold. Trade-ins can also be effected locally as long as all local laws, taxes, duties or bilateral agreements are respected.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(2) Return all options and OS keys to IRM/TCO via pouch when a LAN Server is to be auctioned or transferred to another USG agency.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(3) Sell 386 PCs locally as a system (CPU, monitor, keyboard, and printer) whatever brings the most money. Before selling,

- Reformat or erase all operating systems' hard disk drives and application software and data files.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- Old and obsolete versions of software should be destroyed.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.



Completed     Date \_\_\_\_\_

- Remove 3COM EtherLink III Network Interface Cards (model 3C509-TP for 10BASE-T and dispose.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

For WANG VS/OIS Equipment and Spare Parts:

- (1) Establish whether a local market exists for the sale of WANG OIS/VS equipment/spare parts and/or whether other USG agencies at post have interest in acquiring the equipment/spares at fair market value. If other USG agencies will not purchase at fair market value, sell on local market.

COMMENT: USAID/Colombia has no WANG OIS/VS equipment.

Completed     Date \_\_\_\_\_

- (2) If it is determined that there is no local market value for the equipment/spares, and State or another agency has expressed interest, property can be transferred following 6 FAM 227.3-2(a).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (3) Concurrently advise M/AS/OMS of the intent to conduct an inter-agency transfer of WANG VS/OIS equipment, and include a complete, itemized list of all equipment/spares, detailed quantities, part numbers and unit/extended/total acquisition costs (not present market value).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

For Disposal by Grant-in-Aid or Project Contribution:

Obtain M/AS/OMS's written concurrence and provide strong justification from the mission. It is inconsistent with appropriation regulations to augment one type of appropriation by another. If redistributed to a project, the proceeds from the final sale of the NXP are not returned to USAID but to the host country.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador with

agreements drafted by RLA USAID/PERU..

## **VIII. REAL PROPERTY CLOSE OUT CHECKLIST**

### **Leased Property**

1. With the objective of closing the lease portfolio with a minimum of disruption to Mission operations, develop a list of all leased property and designate each lease for termination through one of the following methods: normal expiration, under the terms of the Diplomatic Escape Clause, or assignment to another Government agency or other qualified lessee.

COMMENT: USAID/Colombia manages only ???two??? leases, ???an??? OE funded lease for the Representatives apartment and a Program funded lease for a PASA employee. This will be done at the appropriate time by EXO USAID/Ecuador in consultation with RLA USAID/PERU..

Completed      Date \_\_\_\_\_

2. Consider the terms of your various leases and the departure schedules of the Mission's employees when developing this list. To avoid unnecessary moves of employees, try to negotiate short term extensions of any leases on which the expiration dates do not correspond to the scheduled departure of the occupant. Before trying to execute any terminations under the Diplomatic Escape Clause ensure that the lease contains such a clause, and that its provisions are applicable to your situation. All leases are supposed to have a Diplomatic Escape Clause, but not all do.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

3. Most of our overseas leases differ from those we are used to in the States. They are what we call a net lease meaning that we lease the premises in a given state and are responsible for returning them in the same state. In most cases this is what is called a rentable condition, i.e., painted, cleaned and ready for the next tenant to move into. In addition, most leases give us authority to make alterations provided that we restore the premises to their original condition. Negotiating restoration can be very tricky business. Before entering such negotiations, it is recommended that you prepare by doing the following:

(1) Read the lease and be aware of its terms.

(2) Be sure you understand what is customary on the local rental market.

(3) Search your files and question FSN staff to get a clear picture of the state of the premises when the USG took possession.

(4) While the lease may require that the premises be restored to their original condition, not all changes made by the Government are completely unique to our purposes. There are times when they greatly enhance the value of a property and should be considered an improvement rather than an alteration requiring restoration. An example would be burglar bars installed on a house in a crime-prone area. When this is the case use the improvement as a bargaining tool and try to leave the bars in place in lieu of performing other restoration.

(5) The USG is not responsible for restoring damage to leased property not caused by the Government or its agents such as: natural disasters, earthquake, war, civil disturbance, fire (not the fault of the Government or one of its employees) or other casualty.

(6) In most instances it is easier and cheaper for the mission to negotiate a cash settlement rather than effecting restoration. However, this too can be a valuable negotiating tool. Most landlords want cash settlements and will agree to smaller settlements if we threaten to contract for the work rather than pay cash.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

4. Ensure that all advance rent payments are taken into account when closing out the leases. Payments that are not actually refunded can be applied against the restoration settlement or other payments that might be due the landlord as a result of the lease termination.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador and coordinated with Controller USAID/Ecuador.

Completed      Date \_\_\_\_\_

5. Ensure that all agreements to terminate leases are documented with a termination and acquittance document executed by both parties to the lease. A sample form can be found in 6 FAM 734.5.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed      Date \_\_\_\_\_

M/AS/OMS has experienced Executive Officers on their staff ready to assist missions with all matter associated with the disposition of leases.

6. All lease files active at the time the decision to close the mission was rendered should be shipped back to M/AS/OMS via registered pouch. Please include copies of all termination letters and termination and acquittance documents.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **Owned Property**

1. Submit to M/AS/OMS a list of all Government owned properties estimating their current market value, and give an assessment of the local real estate market along with your recommendations for disposal.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. After reviewing 6 FAM 780, "Disposition of Government Owned and Long Term Leased Property," organize the sale of those properties designated for disposal in consultation with M/AS/OMS and your RLA. Conduct the sale(s) and document them with copies of all contracts and other pertinent documents, including copies of the OF-158 General Receipt Form issued for the proceeds of sale. All sales proceeds from properties originally purchased with 636(c) (OE) funds should be deposited to Treasury Account 72 X 4175. When completed, the sales files should be forwarded to M/AS/OMS.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador and coordinated with Controller USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **VARIOUS REAL PROPERTY REPORTS TO BE COMPLETED FOR SUBMISSION TO M/AS/OMS**

USAID-Leased Property (short- & long-term, functional and residential space)

1. Send memo to M/AS/OMS listing all terminated leases (including short-and long-term and functional and residential), specifying lease numbers and dates (in lieu of U-450).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Obtain M/AS/OMS approval to sign termination agreements on functional space leases; ensure executed Termination and Acquittance Agreements are included in all lease files. Please ensure that ALL Termination and Acquittance Agreements include the additional provision that all financial obligations under the lease have been fully met by USAID (GC-approved language will be forwarded to missions at a later date). Request approval from Regional EXO or M/AS/OMS.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

3. Forward ALL lease files for both functional space and residential property to M/AS/OMS, including copies of O/FM payment vouchers, especially for final payment, and mail via registered official pouch mail to the attention of M/AS/OMS.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

### **Real Property (USG-owned)**

1. Sale or transfer of USG-owned real property must be coordinated as early as possible with M/AS/OMS. ALL real property original documents and complete files must be forwarded to M/AS/OMS.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

## **IX. RECORDS MANAGEMENT CHECKLIST**

1. Maintain all classified and administratively controlled records separately from unclassified files.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

2. Maintain updated vital records plan for the disposition of records and send copy to the Agency's Record Management Officer (M/AS/ISS).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

For current files:

(1) Mark Official Files with yellow-banded labels showing retention period.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(2) Mark Working Files with green-banded labels and locate them in separate file

drawers, if possible.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

3.To prepare for disposal of inactive official files:

(1) Pack in record shipping boxes (size: 15"x12"x10").

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(2) Separate Subject files from Case files.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(3) Pack "Permanent folders" separately from those authorized for eventual destruction.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(4) Pack classified files separately from unclassified files.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(5) Pack items with like retention periods together.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

(6) Pack records in their original folders in the same order as they were in file drawers, all folders facing the same direction.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (7) Combine boxes into groups with the same disposition date.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (8) List each box by folder title on SF 135A, Records Transmittal and Receipt, available from M/AS/ISS/RM.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (9) Mark boxes to show the disposal authority and actual destruction date of their contents, eg., "27080, Excess Property Files, Destroy 9/30/98."

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

4. Establish a (short-term) local records storage area, within easy access, to house inactive files forwarded by files custodians and maintain the contents of this storage area as follows:

- (1) Organize boxes according to office of origin; e.g., Education Division, Program Office, etc.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (2) Edit shelf lists, check if retention periods are correct and clearly identified.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (3) Identify records that should be given priority in removal from post.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (4) Maintain a supply of records shipping boxes and SF 135A's for additional packing and listing of records during an emergency.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

5. Consult with appropriate personnel to determine if selected records held by the mission will be needed by other missions, the U.S. Embassy, or other organizations assuming USAID residual functions.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

6. Advise the Agency Records Management Officer (M/AS/ISS) of records to be transferred to other U.S. Government agencies and obtain clearances for the transfer of these records (no official files may be transferred other than to a U.S. Government institution without the approval of the Agency Records Officer).

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

7. Consult the U.S. Embassy Pouch Supervisor to determine the most effective and economical way to ship records, considering their security classification, volume and prevailing conditions at post.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

8. Notify the U.S. Embassy Pouch Supervisor of probable dates and volume of records to be transported to USAID/W or other post through the courier service.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

9. Arrange for the use of post destruction equipment to destroy records eligible for destruction.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

10. Prepare a final accounting report of volume of records to include the following information:



- (1) volume of records (cubic feet) in current file rooms and offices.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

- (2) volume of records (cubic feet) in staging, holding, and other storage areas.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

11. Segregate and deliver to custody of a designated USAID officer those records determined necessary for performing residual functions.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

12. Transfer records approved for transfer to the U.S. Embassy or another U.S. Government agency.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

13. Identify official and working files eligible for destruction according to the Agency's Records Disposal Schedule in ADS 502, Agency Disposition Schedule.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

14. Ship records to be retired to USAID/W following instructions contained in ADS 502, Part 1228.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

15. Check the total volume transferred, destroyed, and shipped, against the volume indicated on the latest Files Maintenance and Disposition Plan, form AID 520-2 (box 4), to determine if any records have been overlooked, making every effort to locate the missing records and dispose of them properly.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

16. Submit to the Agency Records Management Officer (M/AS/ISS) a final memorandum report of all actions taken, attaching the following:

- (1) Description and volume of records selected for residual operations and of records transferred to other agencies;
- (2) A copy of shelf lists (SF 135A) listing all records transferred to USAID/W;
- (3) Final accounting of volume of records prepared.

COMMENT: This will be done at the appropriate time by EXO USAID/Ecuador.

Completed     Date \_\_\_\_\_

## **X. PARTICIPANT TRAINING CHECKLIST**

A review will be made of the following activities prior to the close out, and the phased close out or extension of training activities should be planned and arranged to include both USAID's bilateral training program for the country (sending participants to the United States and third countries); and USAID's third country training program for participants from neighboring countries.

### **Bilateral Program for the Closing Out USAID Mission**

#### **Financing**

(1) Dollar Funds - Where necessary, dollar funds should be included to cover the costs of concluding essential third country and U.S. training which might not otherwise be met, including "pipeline" cases. These provisions should be covered in the mission's training or close out agreement with the recipient country.

COMMENT: This will be done at the appropriate time by USAID/Colombia.

Completed     Date \_\_\_\_\_

(2) Local Currencies - In the pre-close out period, consideration should be given to provision of local currencies for use over a transitional period following the close out in that country for training the country's own nationals, as well as incoming participants from other countries in a region.

COMMENT: This will be done at the appropriate time by USAID/Colombia.

Completed     Date \_\_\_\_\_

(3) Partially Financed Training - Training resources, program development and arrangements through USAID/W or a contractor in the U.S. and in third countries can be made available for partially financed training after the close out. These provisions should be included in a specific training agreement or in the closing agreement.

COMMENT: This will be done at the appropriate time by USAID/Colombia.

Completed     Date \_\_\_\_\_

#### Selection Procedures and Regional/Centrally Funded Training Grants

The country should be encouraged to establish procedures to assure continued quality selection of participants for regionally or centrally funded training when the training is USAID financed.

#### Follow-up of Returned Participants

Interest in the participant's development does not end when he/she returns home. Follow up support whenever feasible should be explored with the United States Information Agency (USIA) prior to the close out date. The following activities should be reviewed:

(1) Technical Materials - Establishing a means for the receipt of professional publications and technical journals and magazines or newsletters written by and for returned participants.

COMMENT: USAID/Colombia will discuss the ability of USIS/Colombia undertaking these responsibilities.

Completed     Date \_\_\_\_\_

(2) U.S. Cultural Presentations - Provide for the inclusion of returned participants in cultural and other activities sponsored by the U.S. and benefit to the host country.

COMMENT: USAID/Colombia will discuss the ability of USIS/Colombia undertaking these responsibilities.

Completed     Date \_\_\_\_\_

#### Regional Use of Resources in the Country

G/HCD/HETS recommends actions to be taken to provide for the continuance of this program to countries that usually send participants to the closing out country. Sending countries may utilize host country services or contract with a local organization in the training country to

backstop its participants.

The mission should also send to G/HCD/HETS and the regional bureau the following data report:

(1) The Bilateral Training Program (a list of those in training in the U.S. or third countries and those selected for future fully-funded training programs, who are in the pipeline.)

COMMENT: USAID/Colombia will do this at the appropriate time.

Completed     Date \_\_\_\_\_

(2) The Third Country Training Program (those now in the country in training, or those who are in process but who have not yet arrived).

COMMENT: USAID/Colombia will do this at the appropriate time.

Completed     Date \_\_\_\_\_

#### Post-Close Out Assistance

G/HCD/HETS also informs the United States Information Agency's Bureau of Educational and Cultural Affairs of the close out of USAID's training program.

COMMENT: LAC/SAM will monitor completion of this step with G/HCD/HETS.

Completed     Date \_\_\_\_\_

## **XI. FOR MISSIONS WITHOUT AN EXECUTIVE OFFICER**

For a mission without an incumbent executive officer, a USAID/W Executive Officer may be sent on TDY for five to ten workdays or more, depending on the ability of the Embassy or other administrative support unit to fulfill close out duties. When circumstances warrant, TDY assistance may also be provided to a mission which has an Executive Officer at post.

1. The specific objective of this TDY would be to prepare a personal and real property close out plan in line with Checklists D and E, including, at a minimum:

(1) An assessment of condition of personal property.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed     Date \_\_\_\_\_

- (2) Recommendations on which other posts to notify of property availability.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

- (3) Recommendations as to priority of items for disposal and priority of recipients.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

- (4) An assessment of potential personal property disposal problems which may arise and proposed solutions.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

- (5) An inventory of mission-owned and -leased buildings and residences, including trust funded real property.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

- (6) A realistic schedule to terminate leases.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

- (7) List of possible problems in terminating any leases.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

- (8) Recommendations for disposal of Agency-owned real property.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed Date \_\_\_\_\_

2. The TDY Executive Officer can also assist the embassy Personnel Officer by identifying

potential jobs for FAN employees as their positions are terminated.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed     Date \_\_\_\_\_

3. A second TDY assignment consisting of four to eight weeks by a USAID/W Executive Officer is normally necessary during final close out to help the Embassy or post Executive Officer implement the administrative portion of the close out plan. The TDY should be scheduled to commence after most of the USAID staff have departed post (allowing remaining personal and real property to be disposed of) and to conclude when the Embassy or administrative support unit is able to complete the USAID property disposal plan without further assistance.

COMMENT: EXO USAID/Ecuador will do this at the appropriate time.

Completed     Date \_\_\_\_\_

4. The Mission Director should designate the TDY Executive Officer as Disposal Officer for USAID property so that all USAID property disposal decisions will be formalized by an USAID employee. The appointment should be effective only during the TDY visit.

COMMENT: USAID/Ecuador will do this in consultation with RLA USAID/Peru and EXO USAID/Ecuador at the appropriate time.

Completed     Date \_\_\_\_\_

**ANNEX C**

**ASSESSMENT FINDINGS AND SECTOR PROGRAMS**

**JUSTICE SECTOR REFORM PROGRAM, 1998-1999**

**USAID/COLOMBIA**

DECEMBER 13, 1997

**I. Background**

In its April 1997 review of the USAID/Colombia program, AID/W agreed to provide technical assistance to the USAID/Colombia Mission to prioritize and design activities to be implemented during the remainder of the Justice Sector Program (**JSRP**) (parag. "F", R4 Review). Consequently, from August 3-10, an interinstitutional team from USAID, the Department of Justice and the Department of State carried out a preliminary assessment and reprogramming of the assistance provided under the Justice Sector Reform Program (**JSRP**), arriving at the following conclusions:

1. the need to continue to fund OPDAT and ICITAP with a view to consolidating their programs;
2. the extension by USAID of their programs until a new contract could be signed with OPDAT and ICITAP;
3. the need for a more detailed assessment of the development and justice reform context for both the ongoing and the proposed new programs.

These agreements were confirmed in a reprogramming review held in AID/W chaired by AID Special Advisor to the Assistant Administrator Norma Parker. The representatives of several AID bureaus, of State/ARA, INL, and the DOJ's OPDAT and ICITAP, approved the following guidelines and instructions:

1. Carry out an in-depth assessment to determine program results and concrete activities in the sectors of judicial police, prosecutors, judges and public defenders. In the case of OPDAT and ICITAP, the assessment will be a reprogramming exercise with a view to institutionalizing the results of whatever activities are finally determined to be undertaken.
2. Establish programs of specialized training for the judges and public defenders in addition to the training being given to these sectors under the OPDAT designed National Training Program (**NTP**).
3. Implement only those activities whose results can be consolidated by the close-out of all USAID programs in Colombia on September 30, 1999.

## II. The Assessment

The assessment mandated by the D.C. reprogramming group is intended to cover the entire JSRP, but with emphasis on the 4 essential actors of the Colombian Justice System: judicial police, public prosecutors, judges and public defenders.

Three of these sectors have already been evaluated, with the fourth area, judges, to be completed this week.

Participating in the reprogramming and assessment of these sectors was a combination of USAID, OPDAT, ICITAP and outside experts:

<b>PROGRAM SECTOR</b>	<b>PARTICIPANTS</b>
Judicial police	Fernando Cruz, Costa Rica Mark Williams, RTI, El Salvador Carl Risheim, ICITAP Fernando Cañon, ICITAP Carl Cira, USAID/Colombia
Public Prosecutors	Alberto Binder, Penalist, Argentina Fernando Cruz, Prosecutor, Judge, Costa Rica Orlando Vidal, OPDAT Morris Panner, OPDAT Jaime Granados, Penalist, Colombia Carl Cira, USAID/Colombia
Public Defenders	Alvaro Ferrandino, Dir., Public Defenders' Office, Costa Rica Mark Williams, RTI, El Salvador Alvaro Enrique Urrea, USAID/Colombia Magda Rocio Moreno, USAID/Colombia Silvana Stanga, Argentina
Judges	Jose Maria Rico, Judge, Costa Rica Silvana Stanga, Argentina Alberto Binder, Argentina Carl Cira, USAID/Colombia
Law Reform	Jaime Granados, Penalist, Colombia Carl Cira, USAID/Colombia Arthur Sist, USAID/Colombia-Ecuador

Once the law reform and judicial sector evaluations have been completed, the results will be compiled in an assessment report to be completed by January 1st.



What follows in the present document is a summary of the major conclusions of the reprogramming and assessments which have been completed to date, and an outline of the sector programs based on these findings.

### **III. Assessment Findings and Sector Programs**

#### **3.1. Judicial Police: ICITAP Program**

##### **3.1.1. Background: Assistance to date**

Assistance to the Colombian police forces has been provided through DOJ/ICITAP (International Criminal Investigation Technical Assistance Program) whose present program, dating from 1995, is designed to assist the judicial police to adjust their training and investigative methods to the new accusatorial system through the provision of technical assistance, training and commodities.

ICITAP has been working in Colombia since 1989. In 1994, under its former program, it produced a judicial police manual defining the roles of the various investigative agencies under the new Colombian legal system, and under its present training program, called PRISMA, has trained a large number of investigators (50% according to its June '97 report) under a training of trainers multiplier system. It has also produced a portable and thus very useful Crime Scene Manual and Investigative Help Agency Guide.

Since 1995 ICITAP has also been collaborating with OPDAT in the creation and operation of the Special Units (SUs, see below). Since the units are controlled both locally in their operation and nationally in their policy by the Prosecutor General, the role of the judicial police and therefore of ICITAP has not been as active in the SUs as in the PRISMA program.

In its program for the next two years, ICITAP proposes the development of an integral investigative training curriculum complete with lesson plans and instructor/participant guides, the extension of training to the remaining approximately 4,500 judicial police, and the institutionalization of the training program through, minimally the adoption of a unified curriculum by the training schools of the three major Police Organizations with judicial police (CTI,DAS and DIJIN), and ideally the creation of a single Judicial Police Academy.

##### **3.1.2. Assessment Findings**

The reprogramming team found the ICITAP training program to have a strong policy structure, with the active participation of the three major agencies having permanent judicial police functions. This has allowed ICITAP to resolve any and all disagreements about training policy and the evolution of the program in a rapid and mutually satisfactory fashion.

Also, there was satisfaction among users with regard to the course content, despite the fact that it is more theoretical than practical in nature. Some outside observers suggested that more skills training in investigative techniques was required. ICITAP is aware of this need and plans to introduce more courses as well as practical exercises into the training program next year.

The methodology was also questioned as being too centralized, as was the conference-based pedagogy.

As for the Special Units, the reprogramming team heard complaints from the judicial police participants at the national and local levels, that they did not have sufficient voice in the policy and operation of the Special Units. Criteria for the creation of new units were never considered with the Police, and often the local police chiefs were never instructed as to the nature and purpose of the units. As a result collaboration between prosecutors and police was deficient, arbitrary and dependent more on the personal relationships of the respective authorities than on official policy.

Despite these difficulties, however, the investigators within the Special Units enthusiastically accepted the innovations introduced by OPDAT/ICITAP such as the use of the "investigation plan" (see below) and the taking of oral instead of written depositions.

### 3.1.3. Program, 1998-1999

There are two basic program components within the overall strategic objective of institutionalization for the ICITAP program in the next two years:

1. to institutionalize the PRISMA training program for judicial police through the consolidation of a unified curriculum within the next year. A continuance of that goal, if conditions permit, will be the creation of a single Judicial Police Training Academy which would rationalize resources, unify training standards and would be the instrument for nation-wide certification of judicial police.
2. to institutionalize the participation of the three judicial police agencies in the Special Units by granting them policy voice through the National Police Council.

The ICITAP program since 1989 has moved through 2 stages, first emphasizing criminalistic training and equipment donations, next proceeding to a focus on the incorporation of investigative training in the PRISMA curriculum, and finally in the third stage it will move to the strategic objectives of completing and institutionalizing the achievements of its program.

This objective and its components contribute directly to the USAID JSRP strategic objective of establishing the essential elements of an effective, efficient and fair accusatorial justice system in Colombia that will remain after the projected USAID close out in two years.

## UNIFIED CURRICULUM AND SINGLE TRAINING ACADEMY

Our review of the PRISMA training program has shown that there are still some gaps in the curriculum which need to be filled. ICITAP's program calls for the addition of courses in the curriculum of a unified basic training program to improve the investigators' skills in defensive tactics, firearms training and physical conditioning. In addition to these inclusions, ICITAP plans more training time for specific investigative techniques with an emphasis on practical over theoretical training.

ICITAP also plans to introduce courses in specialized criminal areas such as Narcotics, Corruption, Financial Crimes and Fraud. These will become standard courses in addition to the basic training curriculum.

There is clear evidence that the political will exists among the main actors in the judicial sector to agree to a unified curriculum. The NTPCC has been an important and effective instrument in gaining agreement on the courses that are actually included in the present curriculum. Furthermore, the Directors of the different police agencies have expressed their consensus on the desirability of this measure.

## PARTICIPATION OF JUDICIAL POLICE IN SPECIAL UNITS

The participation of police in the SUs depends on two factors:

1. the future of the SUs
2. the degree of policy input by the police Directors regarding the SUs.

As will be explained at greater length in the next section on the prosecutors program, the most likely outcome for the SUs is that they will be neither extended on a regional or national level, nor completely eliminated. Rather, the SUs will be maintained as useful laboratories where important innovations and techniques have been introduced, which can and should be extended to the entire realm of prosecutorial work. Thus while the SUs as such will not be replicated, the best practices to be extracted from their innovations will be disseminated throughout the entire prosecutorial branch at all levels.

In these circumstances, the need for a police voice in the establishment and operation of the SUs is not as urgent for they are no longer to be considered as replicable models in the short term. Nevertheless, their consolidation will require a greater degree of police commitment, so the goal of a full police voice in this program remains valid.

### **3.2. Public Prosecutors: USAID and OPDAT Programs**

#### **3.2.1. Background: Assistance to date.**

Since 1995 assistance has been provided to the Prosecutor General's Office (**PGO**) and the

public prosecutors directly by USAID/Colombia, and through a Participating Agency Support Agreement (**PASA**) administered by the Overseas Prosecutorial Development Assistance and Training (**OPDAT**) office.

In a \$5.2 million program, USAID developed and installed a pilot information system in selected prosecutor units in Bogota and Medellin, the two major cities of Colombia. The purpose of the system was to improve the investigative capabilities of the units by recording all the necessary steps in the investigation and prosecution procedures. By interrelating information from different cases, the system also enables the prosecutors and investigators to carry out a more integral and complete investigation; finally, the system provides the data for an improved MIS within the Fiscalia. As counterpart the GOC has invested \$8.0 million in satellite and microwave communications infrastructure which will enable the system to operate throughout the country. Design and equipment procurement for this stage is expected through a \$14 million IDB loan now being negotiated by the Procurator General.

In the OPDAT program, approximately \$3.5 million has been expended, basically in two components:

1. the development and execution of a National Training Plan (**NTP**),
2. the creation of 13 pilot task forces called Special Units (**SU**).

The primary purpose of the OPDAT managed program is to assist the Colombian Justice sector in accomplishing the transition from its previous inquisitorial to the new mixed accusatory system mandated by the 1991 Colombian Constitution.

The NTP is designed primarily to teach the prosecutors their new roles in the Colombian mixed accusatory system, but also includes judges in joint training to assist the judges also to understand the prosecutors' new functions. The main objective of this phase of training was to effect a changed mentality within the prosecutors toward streamlined procedures and the use of orality in the investigative and trial stages of the cases. Using a "training of trainers" methodology, about half of all prosecutors and judges -2000 and 400 respectively- have received training under the NTP.

The SUs are task-force-like units which combine police and prosecutors in a team approach to investigation and prosecution and were created to enable the teams to put into practice the theoretical training received under the NTP. Emphasis was placed precisely on those aspects of the new mentality toward streamlining procedures and using orality in the deposition of witnesses and accused, and in the presentation of evidence in the trial.

Evaluations carried out by the Colombian counterparts indicate a high level of acceptance of the training program as well enthusiastic application of new procedures by members of the SUs.

### 3.2.2. Assessment Findings

### 3.1.2.1. Nationalization of the Program

The salient feature of the OPDAT-designed program in its present stage is the gradual appropriation of the program by the GOC. In 1996, the Procurator General appointed a prominent prosecutor as the Coordinator both of the NTP and the SUs. The Prosecutor General's office assumes 100% of the administrative costs of both the NTP and the SUs. The new mentality fostered by OPDAT for streamlining procedures has been thoroughly accepted as a basic element both in the NTP and the SUs. Orality has also had a success in the investigation phase of the case, although acceptance in the trial stage is still a matter for discussion among both the prosecutors and judges. Finally, important innovations developed within the SUs, such as the use of an investigation plan, oral assignments, indictment on the basis of probable cause, and the delegation of authority to investigators to receive sworn depositions, may become official policy for all prosecutors.

The institutionalization of these important accomplishments of the OPDAT program has had a significant impact on the program, on the relation between OPDAT and the Procurator's Office and on OPDAT's role and activities. While the Prosecutor has stated he welcomes a continued OPDAT presence and assistance, he is no longer totally dependent on it. More important, the program, once seen by many of the prosecutors as a foreign imposition, is now accepted as a thoroughly Colombian initiative. Consequently, OPDAT's role has evolved into one of an important and valued consultant, rather than that of the predominant protagonist of change.

### 3.2.2.2. Present Needs

The change in OPDAT's role makes their presence and contribution to improving the effectiveness of the Colombian justice system and to USAID's JSRP no less important.

First, because the condition of the public prosecutors constitutes perhaps the most important factor affecting the effectiveness of the Colombian justice system. Inadequate investigation and prosecution is the major cause of the impunity which plagues Colombian justice, as well as a significant reason for the extreme delays which characterize the system. The Constitutional Reform of 1991 recognized the importance of the prosecutors by establishing the PGO as a separate and independent entity, and it receives more resources from the GOC than any other division within the Judicial Branch. To impact the Public Prosecutor sector is therefore vital to improving the effectiveness of the Colombian justice system.

Second, essential features of a full accusatory system still need to be accepted and adapted to the Colombian judicial process, the most important being orality at the trial stage, meaning oral testimony by witnesses, face to face confrontation and cross-examination. At present, some prosecutors and many judges consider that orality means simply reading the case file out loud at a public hearing. Also, continued efforts to encourage prosecutors to present cases for trial on the basis of probable cause is still necessary, since many judges continue to refuse indictment unless conclusive proof is presented, which in effect prejudices the guilt or

innocence of the accused before trial and reduces the role of the judge to one of reviewing the case and passing sentence.

Third, OPDAT is required to assist the PGO to identify the replicable achievements of the SUs and to consolidate them as policy; the idea of the SUs, successful as pilot laboratories for developing innovative practices, must now be adapted and extended to areas of special importance, like narcotics and human rights; specialized training for these units must be developed; and finally, skills training in oral presentations at the trial level must be developed as a necessary corollary to the training which will be given to judges in orality.

### 3.2.2.3 Counterpart Support

The difficulties experienced by the previous OPDAT resident representative in his dealings with the Colombian Coordinator of the program have not affected the acceptance of the program or of OPDAT by the Colombian counterpart. The recently chosen Prosecutor General has expressed both to the USAID/Colombia Representative and to several members of OPDAT that he wants the OPDAT assistance to continue. Important details concerning the assistance were agreed to by the PG's Coordinator of the Program and OPDAT in several recent meetings.

The most important contribution which the Colombian Program Coordinator requires of OPDAT is the identification and refinement of the best practices developed within the SUs, their adaption for generalized use by all prosecutors, and their incorporation into a Prosecutors Manual which will establish these practices as official policy of the PGO.

Assistance to the Special Human Rights unit, created two years ago, and with nation wide jurisdiction, was also requested by the director of that unit to assist in the changeover from the inquisitorial written system now being employed by all Regional Units, to the more accusatorial regular system when the Regional system is abolished next year.

If and when the time allows after the completion of these primary tasks, the Coordinator and OPDAT agreed to consider the possibility of further OPDAT assistance in the need areas indicated above, including the creation and training of task forces in other areas of special importance.

Finally, the Attorney ("Procurator") General has requested that the prosecutors under his jurisdiction also be trained along with the prosecutors of the PGO. The Attorney General is an important actor, equally with the Prosecutor General, in promoting a full accusatory system, and the incorporation of his Office into an OPDAT assistance program would therefore be a vital asset to the movement toward that system.

All the elements discussed have been incorporated into OPDAT'S workplan for 1998-1999.

### 3.2.3. The OPDAT Program, 1998-1999

### 3.2.3.1. Prosecutors Manual

The Special Units were created with the intention of applying the theoretical training receiving in the NTP to the everyday practice of prosecutors and investigators. They have therefore become valuable laboratories to develop innovative practices. The idea of using the Special Units as a model for all prosecutor units and of replicating them throughout the country has been discarded, at least temporarily, by the PGO because of an insufficient number of investigators. However, the decision was made to continue support to the 13 existing SUs in order to refine their innovations, to identify their best practices which are replicable and to incorporate them into a Manual to establish them as official PGO policy.

The development of the Prosecutors Manual would serve an important function in promulgating on a national basis standard operating procedures for prosecutors. This manual also would necessarily provide a general set of goals for future training in the prosecutors office.

OPDAT in coordination with the PG would provide technical assistance in the development of the manual. A draft committee of experts will be formed with both PG and OPDAT financing. The draft will be approved by the Directors of the PGO.

OPDAT will also provide TDY support of experts to assist in certain sections of the Manual.

An important and useful tool will be the Prosecutors Manual developed in Bolivia, whose relevant sections will be applied to the Colombia Manual with assistance if needed from the Bolivia drafters.

### 3.2.3.2. Special Units

As mentioned above, the SUs have become proving grounds for new techniques which the PG intends to apply on a national basis. But they also hold the promise, with slight adaptation, of serving as "strike forces" to combat intractable crime problems in particular areas. For example, in this connection, the concept of the SUs could also be applied to the existing strike force units that deal with human rights, money laundering and forfeiture.

Since the effectiveness of the SUs depends to a large extent on the training they receive, OPDAT will first carry out an assessment of their training needs to provide training adequate to ensure that, at a minimum, each SU will:

1. employ correct investigative techniques in a team approach between investigator and prosecutor,
2. develop and use correctly the basic "investigative Plan"
3. conduct oral interviews using recording equipment rather than typists
4. indict cases on the basis of "necessary proof" or probable cause
5. employ basic oral advocacy techniques.

If the training needs assessment indicates the lack of basic equipment needed for orality, small donations of equipment such as tape recorders will be considered.

Finally, the Regional Units ("faceless judges and prosecutors") will need training in the accusatory system, which they have not been using to date. OPDAT in coordination with the PG will provide training to at least the human rights Regional Unit, and will consider the possibility of developing strike force capability in at least one unit in Bogota, which will devote itself to handling major narco-trafficking and terrorism cases.

Work with the SUs will be closely monitored and a quantitative analysis of results will be developed by OPDAT.

#### 3.2.3.3. Training

Although the PGO has largely taken over the NTP, there are still 3 aspects of training which the PG agrees OPDAT can contribute to:

1. Training in the Prosecutor Manual which OPDAT will help to develop,
2. Training of lawyers and judges as well as prosecutors in skills needed for oral trials. OPDAT would be part of a working group that will train other trainers, as in the NTP.
3. Coordinate with the USAID training program for judges to ensure that all members of the justice system are receiving the same information. OPDAT will suggest the creation of a training committee composed of lawyers, judges and prosecutors to coordinate all international training aid.

### 3.3. Public Defenders

#### 3.3.1. Reasons for a Specialized Training Program

In contrast to a prosecutorial function however imperfect that is probably the strongest in Latin America, Colombia has one of the weakest public defense systems. In Colombia, a minimal public defense of indigents accused of crimes is carried out under the direction and as only one of the many functions of the Ombudsman (Defensor del Pueblo - **DP**), who is in turn formally dependent on the Attorney General (Procurador General) who is director of the Public Ministry (art. 275, 281, 282). The Office of Public Defense (PDO) within this structure is headed by a director who is responsible for the program nationwide. For the previous two years of the JSRP, responsibility for public defender training was with OPDAT, which was able to accord it only a minimal priority. Although the entire corps of (part-time) public defenders totals less than 500, they have completed only 6 of the 8 modules, of basically the same content as the training given to prosecutors and judges. The counterpart for the PD training is the DP, recently appointed for a four year term. Public Defense is plainly the weakest and most vulnerable link in the Colombian justice system, plagued by understaffing (now 480 part-time attorneys for the whole country), low budgets, recent severe funding cutbacks, a "contractor" employment system, and consequently poor quality and large turnovers in its ranks. This sad condition reflects the minimal importance given to the



defense function in Colombia's reformed "Codigo de Procedimiento Penal."

Besides the USAID funded, OPDAT administered activities, the PDs have received some additional training funded by AID and the Public Defender's Office (**PDO**) under the "Barra de Abogados" program, using a type of case study methodology.

Because of the low number of PDs, most of them have been trained in 6 of the 8-module program. Despite the fact that these modules are designed principally for prosecutors, the defenders are interested in completing the course. Most of them have been surprised to learn that under the new system, they can request of the prosecutor that investigation be initiated or redone on a point of interest to the defender. (To our knowledge, none of the defenders have made this request of a prosecutor to date.) So although the OPDAT designed course is philosophically and operationally biased toward prosecutors, it has served some useful purpose for defenders.

The reasons for urgently initiating a special training component for judges apply a fortiori to the public defenders. The PDs are the poor cousins of the other actors in the criminal process, to the clear prejudice of the indigent accused. They are few in number, always the first to get their already low budgets cut, with no tradition or prestige to animate them. To become real players and fulfill their special and necessary role of defending the rights of the indigent accused, they require more help than the other sectors: larger budgets, larger and more permanent staffs and perhaps a more prominent presence in the procedural code, in addition to specialized training.

### 3.3.2. Assessment Findings and Program

The assessment found that both the USAID and the OPDAT Programs, although minimal, have been useful. The evaluators considered that the OPDAT training program should be brought to completion and incorporated into a broader training program after a needs assessment is carried out. The series of workshops conducted by legal experts on defense topics and the management of defense cases and issues (the "Barra") should also be maintained as a complement to the formal training program

The most critical problem that the evaluators encountered was the system of employing defenders through yearly contracts instead of hiring them as permanent members of the institution. This creates high turnover rates, discourages investment by the institution in training and does not create a sense of professional pride in the defenders.

Other institutional problems related to the impression among defenders of weak leadership within the institution, leading to the doubts that authorities had been selected more for political than professional reasons and would not be interested in improving the situation either of the institution as such or its employees.

Also lacking were sufficient control mechanisms. Monitoring of the work of the defenders

was sporadic and authorities had little knowledge of basic performance data.

Another institutional deficiency was the absence of clear positions and policies on important matters in topics of concern to all the defenders, such as policies critical of the penal system regarding access, prisoners without sentences, etc.

Finally, the evaluators pointed out a number of factors negatively affecting the efficiency of the defenders, such as inadequate office infrastructure, lack of computerized records, and poor or non-existent provision of expert legal advice when needed.

In relation to training needs, the evaluators noted the special need for certain themes to be covered, such as negotiated and out-of-court settlements, ways to judge the appropriateness of sentences, and the whole issue of orality. As for the actual training program, it was recommended that a final document be drafted at the end of the last module in which the defenders would commit themselves to employ the most important policies and practices discussed in the program. It was stressed that a complete training program needed to be designed on the basis of a needs assessment developed preferably through a profile method, comparing the profile of the actual defenders to the profile of the ideal public defender.

Based on these findings, USAID personnel working with the public defenders have developed a tentative program, which will be refined and completed by an institutional contractor who will be in charge of the public defender training, the judicial training, and the other special programs.

The program comprises assistance for both the development of a training program and institutional strengthening. The goal of the latter will be to achieve within two years the incorporation of permanent, and not just yearly contract, personnel into the institution. Other areas of activity in relation to institution building concern leadership training, and training in negotiating skills for the authorities of the Public Defense Office; observational visits to countries where public defense is strong, such as Costa Rica; and some infrastructure support, perhaps in computers or basic office equipment.

The training program will be concerned first to complete the course designed under the OPDAT program. Two of the eight modules remain to be taught. Simultaneously, the process of the second, or specialized, training phase for defenders will be designed. The design will be based first on an evaluation survey administered to the participants in the training program. The profile method mentioned above will then be combined with the results of the survey. It was decided to wait till the completion of this second, specialized course before promoting the signing by the defenders of performance commitments. A second activity at the completion of the course will be its institutionalization, by making it the official course of the Defender Training School. Finally, based on the content of the course, a Public Defender Manual will be developed and published.

### **3.4. Judges and Law Reform**

#### **I. Background**

Under the JSRP, judges have received joint training with the Prosecutors in the accusatorial system. They were incorporated into the National Training Plan by the PGO and OPDAT after the third training module delivered to the prosecutors because of the recognition that judges would reject cases presented according to new unfamiliar and still unsettled accusatory rules.

This is the only training to judges provided to date. As explained in more detail below, the President of the Administrative Chamber of the Superior Judiciary Council, an entity that formerly had little interest in the JSRP, has requested judge-specific. Furthermore, the same sentiments were strongly expressed in a recent meeting with the USAID Representative by the new Judicial School Director, recently appointed by the Ministry of Justice with the approval of the Judicial Council to which the School will be transferred in January, 1998 and which is the counterpart for the training of judges and Magistrates. The Judicial School director reiterated the interest in a subsequent letter to USAID. The liaison for the program is the president of the Administrative Chamber, Dr. Orozco, who according to members of the NTP previously has been cordial but passive in cooperating with the Plan. He was appointed in 1997 as President of the Administrative Chamber for a term of one year.

#### **II. Program Assistance to Judges, 1997-1999**

Under the joint prosecutor/judge program designed by OPDAT, about 400 judges have received training in the previous phase and about 1,400 are currently receiving it. This training has been successful in helping at least some judges understand and accept the new role and methods of investigators and prosecutors, for example the prosecutor bringing the case to trial on the basis of probable cause only, with presentation of conclusive proofs in the trial itself. In some cases, judges who have not received the NTP courses have rejected the prosecutor's decision to go to trial in such cases because they demand a full prior submission of all the evidence in the case as mandated under the old system.

Despite the value of this training, however, judges themselves, the President of the Judicial Council's Administrative Chamber, to which the new Judicial School will be annexed in January of 1998, and the newly appointed Director of the Judicial School have expressed the need for specialized judicial training. For example, while learning under the NTP the proper techniques of gathering and presenting evidence (from the prosecutor's viewpoint), the judges received little if any training in the analytic skills required to evaluate it ("valorizacion de la prueba"). Other important issues for the judges, relating to equity and expediency, were not even touched, such as evaluating the conclusiveness of evidence or the encouragement of

extra-trial or abbreviated trial resolution of cases. The President of the Judicial Council's Administrative Chamber himself submitted a long and heterogeneous list of training needs.

In addition to these urgent, unmet needs, there are vital systemic reasons to add a specialized judicial training component. Heavy emphasis by the DOJ elements of the JSRP program on investigation and prosecution has done little to improve equity and human rights issues. Further, the efficiency and efficacy of the system are seriously affected by delays caused at the trial stage because of defective judicial practices and the absence of adequate defense.

### III. Evaluation Results

The evaluation team indicated three basic needs in the area of judicial training:

1. the training received to date is largely theoretical and university based, analyzing interpretations of the law and jurisprudence over practical skills and techniques of producing timely, reasoned case resolutions
2. judicial authorities do not have a clear idea of how to structure a training school or of how to devise a program that can assure the teaching of these skills.
3. there is not sufficient understanding or experience in oral procedures, which should form the nucleus of the reformed, mixed accusatory system.

Accordingly, the evaluation team, given the time and funding constraints of the USAID/Colombia program, recommended an approach combining both emergency and remedial characteristics, consisting basically in the design and implementation of:

1. a training school housed within the Supreme Judiciary Council which is participatory, peer level, in service and field oriented in nature.
2. a training program which emphasizes practical, modern judicial techniques over theoretical conferences.
3. training modules using a simulation methodology to teach the application and handling of oral processes within the courtroom.

The evaluation team confirmed that these goals are realistic because of the strong interest now expressed by the Judicial Council and its now direct control over the Judicial School and the AID Representative's recent prior experience in implanting a similar program in Bolivia. Significantly, the new Director of the Judicial School in his first meeting with AID staff, surprised the AID Representative by referring to the judicial training work done by the USAID/Bolivia program and the documentation of that effort which he had somehow obtained. develop and oversee judicial training, not to execute it. Incentives to adopt an appropriate training system will be the Judicial School's new and more appropriate

institutional setting and the amounts of experienced and focused technical assistance which, while relatively modest, is now seen as an extremely welcome and unexpected support. Success depends on finding an administrative mechanism for this component which is agile and competent, for delays, even small ones, will prove fatal to the objectives of effectiveness and institutionalization.

This component will place its *substantive* law priorities on the essential knowledge, skills and practices required by an effective accusatorial system, and its *institutional development* priorities on the creation of a permanent structure for an in-service training program in the Judicial School.

Finally, the evaluation team recommended that to assure institutionalization and uniformation of the techniques learned in the judicial program, efforts should be made to incorporate oral processes in a reformed Criminal Procedure Code. Suggested was a dual approach which could be accomplished in stages:

1. The first stage would be assistance to the Judiciary Council to issue administrative regulations instructing judges to begin employing oral procedures in the Courtroom.
2. The second stage would be assistance to the efforts of the Prosecutor General to reform the Criminal Procedure Code, presently being studied by a special Interinstitutional Commission created by Presidential Decree in July of 1997.

#### **IV. TIME FRAME AND BUDGETS**

All activities recommended by the Evaluations experts in this document can be completed and the programs institutionalized by September 30, 1999, the close-out date of USAID/Colombia.

Both the ICITAP and the OPDAT budgets for January 1, 1998 to September 30, 1999 are expected to total between \$1.5 - 2.0 million.

Detailed budgets for both programs are now being developed by ICITAP and OPDAT and will be available by January 1, 1998.

USAID has a pipeline of approximately \$6.2 million for its program 1998-1999. All of these funds will be used for USAID/Colombia administered programs. See attached budget.

None of this money is budgeted for either ICITAP or OPDAT.

*USAID COLOMBIA, DECEMBER, 1997*

## **Annex D.**

## **Annex E**

### **PROGRAM DEVELOPMENT & SUPPORT (PD&S) LOCAL CURRENCY TRUST FUND**

#### **A Broadened Policy Applies LC Resources Across the Full USAID/C Program**

Beginning in the current Fiscal Year, USAID/Colombia has adjusted its programming policy to emphasize closer complementarity with the SO and the SpO in the use of PD&S. Besides continuing the sort of training support given in the past, we will use available program support PD&S supplement or amplify all activities being developed under the SO and the SpO. We have also begun to use this fund to advance two important initial activities in support of current efforts and explorations to begin a Colombian Peace Process - which we classify as democracy preservation and renovation.

Since FY 92, USAID/Colombia has used its PD&S Local Currency Trust Fund primarily to finance numerous training activities for Colombian professionals or technicians who travelled to the U.S. and other Latin American countries to participate in seminars, workshops, and conferences. Several other significant activities were funded from this source; including a previous grant to PLANTE, the GOC Alternative Development agency, of the peso equivalent of USD \$ 1,000,000.

In past years, the Mission directed most of these resources to the training of individuals or small groups linked to public and private institutions that requested USAID/Colombia assistance for short term or medium term training. Decision on which training requests to support were usually based on the relationship of the training opportunity to our primary programs. Thus, to a limit extend, training opportunities were related to the satisfaction of "institutional development" needs, rather than the exclusive personal benefit of the justice, environment and health sector professionals who were supported. The new policy will continue to seek these linkages, but will also extend support for activities beyond training that complement and "co-fund" the full breadth of our approved SO and SpO programs.

From 1992 to 1997 the following activities were financed:

#### **International Training**

The equivalent of US\$300,000.00 were used to train 61 Colombian professionals/technicians who travelled to the U.S. and Latin American Countries to participate in Short-Term Training Activities.

Note: Under the International Training component USAID/Colombia and the Fulbright Commission signed an agreement to finance an Environmental Scholarship Program. The peso equivalent of over US\$550,000.00 to support thirteen (13) master degree scholarships, have been

provided since 1994.

### **In-Country Activities**

The equivalent of US\$100,000.00 were used to co-finance In-Country Activities (seminars, workshops, congresses) organized locally by public, private and NGO organizations. These were in the principal areas of USAID policy interest.

### **Expert Participants**

The equivalent of US\$100,000.00 were used to bring Experts from the U.S. and Latin America to participate as speakers in seminars, workshops and congresses.

### **Examples of Activities Supported**

<b>Type of Activity</b>	<b>Organized by:</b>
"Primera Conferencia Latinoamericana de Lucha Contra la Corrupción Administrativa" Nov. 17-19, 1993.	Ministerio de Gobierno Consejería para la Modernización del Estado Universidad de Los Andes Programa de las Naciones Unidas Para el Desarrollo - UNDP
"Segundo Curso-Seminario Internacional sobre Control de la Contaminación por Automotores" Nov. 25-29, 1996.	Universidad Nacional de Colombia Instituto de Estudios Ambientales (IDEA)
"Primer Congreso Latinoamericano de Parques y Areas Protegidas" May 21-28, 1997.	Ministerio del Medio Ambiente SURAPA Subred de Areas Protegidas del Amazonas EuropeanUnion(EU)
"III Encuentro de Dinamizadores en Educación Ambiental Interdisciplina y Escuela". Marzo 23-Febrero 2, 1997.	Ministerio de Educación Nacional Programa de Educación Ambiental.
Building a Strategic Alliance Between CIAT and Environmental NGOs. April 1997 to July 1998.	International Center for Tropical Agriculture (CIAT).

As of February, 1994, the GOC had deposited the peso equivalent of approximately \$77M in an interest bearing special account in the Banco de la República de Colombia (BRC). The remaining \$3M has been made available USAID operating expenses (OE) and Program Development (PD&S) Trust Funds. USAID still have remaining funds that were provided by the interest gained. These remaining funds will be used during FY/98 and FY/99 to support USAID SO1 and SpO1.



**BUDGET PROJECTION FOR THE USE OF PD&S LOCAL CURRENCY TRUST  
FUNDS DURING FY 98 AND FY 99**

**AVAILABLE FUNDS FY98 (in US\$) US\$1,249,500**

Projection of Activities to be co-financed	FY98		
	2nd. Quarter	3rd. Quarter	4th. Quarter
<b>Environment</b>			
Grant to the Nature Conservancy TNC	135,000		
Grant to Fullbright Commission (Env. Scholarship Prog.)	213,000		
Support to the newly created "Alejandra Echavarria Memorial Fund Scholarship"			30,000
Support to training activities		50,000	
CIAT (to support biodiversity activities)		50,000	
COLCIENCIAS (to support training activities co-financed by IDB)		100,000	
Other activities: disaster assistance, El Niño,..		50,000	
<b>Democracy-Justice:</b> Peace Process, Human Rights			
Civic Education awareness program (NGO's & local institutions)		50,000	50,000
PSC/ Peace process coordinator (2 year salary)			170,000
Peace process research		50,000	
Displaced people	68,500	66,500	
Alternative Development support			50,000
USPSC (Financial & Admin support - 1 year salary)			66,500
Human Rights			50,000
<b>Subtotal</b>	416,500	416,500	416,500

**AVAILABLE FUNDS FY 99 (IN US\$) US\$401.600**

Projection of activities to be Co-financed	FY99		
	2nd. Quarter	3rd. Quarter	4th. Quarter
<b>Environment</b>			
Support the MOU signed by GOC & EPA	30,000		
PSC (Environmental Advisor)	30,000	20,000	10,000
Training Activities	10,000	10,000	5,000
<b>Democracy - Justice:</b> peace process, human rights			
Peace Process		80,000	
Research for Peace	10,000	30,000	20,000
Alternative Development	10,000	41,600	5,000
USPSC (part of 1/year salary)			40,000
Human Rights	10,000	20,000	20,000

<b>SUB-TOTAL</b>	<b>100,000</b>	<b>201,600</b>	<b>100,000</b>
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Cost of Controller Operations

Org. Title: USAID/COLOMBIA			Overseas Mission Budgets														
Org. No: 514			FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
SCENARIO PHASING OUT BEYOND 9/30/00																	
Org. Title: USAID/COLOMBIA			Overseas Mission Budgets														
Org. No: 514			FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total

Cost of Controller Operations

Org. Title: USAID/COLOMBIA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH			0			0			0			0			0
	Subtotal OC 11.1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0			0			0			0			0
	Subtotal OC 11.3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0			0			0			0			0
11.5	FNDH			0			0			0			0			0
	Subtotal OC 11.5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries			0			0			0			0			0
11.8	FN PSC Salaries			0			0			0			0			0
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0			0			0			0			0
	Subtotal OC 11.8	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances			0			0			0			0			0
12.1	Cost of Living Allowances			0			0			0			0			0
12.1	Home Service Transfer Allowances			0			0			0			0			0
12.1	Quarters Allowances			0			0			0			0			0
12.1	Other Misc. USDH Benefits			0			0			0			0			0
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Payments to the FSN Separation Fund - FNDH			0			0			0			0			0
12.1	Other FNDH Benefits			0			0			0			0			0
12.1	US PSC Benefits			0			0			0			0			0
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		

Cost of Controller Operations

Org. Title: USAID/COLOMBIA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
12.1	Payments to the FSN Separation Fund - FN PSC			0			0			0			0			0
12.1	Other FN PSC Benefits			0			0			0			0			0
12.1	IPA/Detail-In/PASA/RSSA Benefits			0			0			0			0			0
	Subtotal OC 12.1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
13	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13	Severance Payments for FNDH			0			0			0			0			0
13	Other Benefits for Former Personnel - FNDH			0			0			0			0			0
13	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13	Severance Payments for FN PSCs			0			0			0			0			0
13	Other Benefits for Former Personnel - FN PSCs			0			0			0			0			0
	Subtotal OC 13.0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
21	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21	Training Travel			0			0			0			0			0
21	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21	Post Assignment Travel - to field			0			0			0			0			0
21	Assignment to Washington Travel			0			0			0			0			0
21	Home Leave Travel			0			0			0			0			0
21	R & R Travel			0			0			0			0			0
21	Education Travel			0			0			0			0			0
21	Evacuation Travel			0			0			0			0			0
21	Retirement Travel			0			0			0			0			0
21	Pre-Employment Invitational Travel			0			0			0			0			0
21	Other Mandatory/Statutory Travel			0			0			0			0			0
21	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21	Site Visits - Headquarters Personnel			0			0			0			0			0
21	Site Visits - Mission Personnel	5.8	8	13.8			0	10.5	14	24.5			0	10.8	15	25.8
21	Conferences/Seminars/Meetings/Retreats			0			0			0			0			0
21	Assessment Travel			0			0			0			0			0
21	Impact Evaluation Travel			0			0			0			0			0
21	Disaster Travel (to respond to specific disasters)			0			0			0			0			0

Cost of Controller Operations

Org. Title: USAID/COLOMBIA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
21	Recruitment Travel			0			0			0			0			0
21	Other Operational Travel			0			0			0			0			0
	Subtotal OC 21.0	5.8	8	13.8	0	0	0	10.5	14	24.5	0	0	0	10.8	15	25.8
22	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22	Post assignment freight			0			0			0			0			0
22	Home Leave Freight			0			0			0			0			0
22	Retirement Freight			0			0			0			0			0
22	Transportation/Freight for Office Furniture/Equip.			0			0			0			0			0
22	Transportation/Freight for Res. Furniture/Equip.			0			0			0			0			0
	Subtotal OC 22.0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0			0			0			0
23.2	Rental Payments to Others - Warehouse Space			0			0			0			0			0
23.2	Rental Payments to Others - Residences			0			0			0			0			0
	Subtotal OC 23.2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0			0			0			0
23.3	Residential Utilities			0			0			0			0			0
23.3	Telephone Costs			0			0			0			0			0
23.3	ADP Software Leases			0			0			0			0			0
23.3	ADP Hardware Lease			0			0			0			0			0
23.3	Commercial Time Sharing			0			0			0			0			0
23.3	Postal Fees (Other than APO Mail)			0			0			0			0			0
23.3	Other Mail Service Costs			0			0			0			0			0
23.3	Courier Services			0			0			0			0			0
	Subtotal OC 23.3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
24	Printing and Reproduction			0			0			0			0			0

Cost of Controller Operations

Org. Title: USAID/COLOMBIA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
Subtotal OC 24.0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0			0			0
25.1	Management & Professional Support Services			0			0			0			0			0
25.1	Engineering & Technical Services			0			0			0			0			0
Subtotal OC 25.1		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards			0			0			0			0			0
25.2	Residential Security Guard Services			0			0			0			0			0
25.2	Official Residential Expenses			0			0			0			0			0
25.2	Representation Allowances			0			0			0			0			0
25.2	Non-Federal Audits			0			0			0			0			0
25.2	Grievances/Investigations			0			0			0			0			0
25.2	Insurance and Vehicle Registration Fees			0			0			0			0			0
25.2	Vehicle Rental			0			0			0			0			0
25.2	Manpower Contracts			0			0			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0			0			0
25.2	Recruiting activities			0			0			0			0			0
25.2	Penalty Interest Payments			0			0			0			0			0
25.2	Other Miscellaneous Services			0			0			0			0			0
25.2	Staff training contracts			0			0			0			0			0
25.2	ADP related contracts			0			0			0			0			0
Subtotal OC 25.2		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS			0			0			0			0			0
25.3	All Other Services from Other Gov't. accounts			0			0			0			0			0
Subtotal OC 25.3		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		



Cost of Controller Operations

Org. Title: USAID/COLOMBIA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
25.4	Office building Maintenance			0			0			0			0			0
25.4	Residential Building Maintenance			0			0			0			0			0
	Subtotal OC 25.4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.7	Operation/maintenance of equipment & storage of g	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs			0			0			0			0			0
25.7	Storage Services			0			0			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance			0			0			0			0			0
25.7	Vehicle Repair and Maintenance			0			0			0			0			0
25.7	Residential Furniture/Equip. Repair and Maintenance			0			0			0			0			0
	Subtotal OC 25.7	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.8	Subsistence and support of persons (by contract or Gov't.)			0			0			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
26	Supplies and materials			0			0			0			0			0
	Subtotal OC 26.0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
31	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31	Purchase of Residential Furniture/Equip.			0			0			0			0			0
31	Purchase of Office Furniture/Equip.			0			0			0			0			0
31	Purchase of Vehicles			0			0			0			0			0
31	Purchase of Printing/Graphics Equipment			0			0			0			0			0
31	ADP Hardware purchases			0			0			0			0			0
	Subtotal OC 31.0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
32	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32	Purchase of Land & Buildings (& construction of bldgs.)			0			0			0			0			0
32	Purchase of fixed equipment for buildings			0			0			0			0			0
32	Building Renovations/Alterations - Office			0			0			0			0			0
32	Building Renovations/Alterations - Residential			0			0			0			0			0

Cost of Controller Operations

Org. Title: USAID/COLOMBIA Org. No: 514 OC			Overseas Mission Budgets														
			FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
Subtotal OC 32.0			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
42 Claims and indemnities					0			0			0			0			0
Subtotal OC 42.0			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL BUDGET			5.8	8	13.8	0	0	0	10.5	14	24.5	0	0	0	10.8	15	25.8
Dollars Used for Local Currency Purchases			_____			_____			_____			_____			_____		
Exchange Rate Used in Computations			_____	_____		_____	_____		_____	_____		_____	_____		_____	_____	

# TRUST FUNDS & FSN SEPARATION FUND

## SCENARIO PHASING OUT BEYOND 9/30/00

**Orgno: 25514**

**Org. Title: USAID/COLOMBIA**

### Foreign National Voluntary Separation Account

Action	FY 98			FY 99			FY 00		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	121.3	20.7	142.0	101.7	36.4	138.1	113.9	43.8	157.7
Withdrawals	150.0	22.2	172.2	50.0	6.3	56.3	60.0	12.0	72.0

Unfunded Liability (if any)  
at the end of each FY.

### Local Currency Trust Funds - Regular (\$000s) COMBINED FIGURES: OE TF AND PD&S

	FY 98	FY 99	FY 00
Balance Start of Year	1,518.6	489.6	511.4
Obligations	1,748.5	1,081.0	675.2
Deposits	719.5	1,102.8	163.8
Balance End of Year	489.6	511.4	0.0

Exchange Rate(s) Used      1,350.0      1,550.0      1,780.0

### Trust Funds in Dollar Equivalents, not in Local Country Equivalents

#### Local Currency Trust Funds - Real Property (\$000s)

	FY 98	FY 99	FY 00
Balance Start of Year		0.0	0.0
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

### Trust Funds in Dollar Equivalents, not in Local Country Equivalents

## GLOBAL FIELD SUPPORT

[illegible]

\* For Priorities use high, medium-high, medium, medium-low, low

Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA			Overseas Mission Budgets														
Org. No: 514			FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA			Overseas Mission Budgets														
Org. No: 514			FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC			Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total

Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
11.1	Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1	Base Pay & pymt. for annual leave balances - FNDH	45.6		45.6	81.4		81.4	54.2		54.2			0	60		60
	Subtotal OC 11.1	45.6		45.6	81.4	0	81.4	54.2	0	54.2	0	0	0	60	0	60
11.3	Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3	Base Pay & pymt. for annual leave balances - FNDH			0			0			0			0			0
	Subtotal OC 11.3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
11.5	Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5	USDH			0			0			0			0			0
11.5	FNDH	20.5		20.5	28.4		28.4	22.7		22.7			0	25		25
	Subtotal OC 11.5	20.5	0	20.5	28.4	0	28.4	22.7	0	22.7	0	0	0	25	0	25
11.8	Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8	USPSC Salaries			0			0	130.9		130.9			0	136		136
11.8	FN PSC Salaries		250.7	250.7		354	354		269.9	269.9			0		304.7	304.7
11.8	IPA/Details-In/PASAs/RSSAs Salaries			0			0			0			0			0
	Subtotal OC 11.8	0	250.7	250.7	0	354	354	130.9	269.9	400.8	0	0	0	136	304.7	440.7
12.1	Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Educational Allowances		9	9			0		28.3	28.3			0		22.3	22.3
12.1	Cost of Living Allowances			0			0			0			0			0
12.1	Home Service Transfer Allowances			0			0			0			0			0
12.1	Quarters Allowances			0		13	13	0.7	15.4	16.1			0			0
12.1	Other Misc. USDH Benefits			0			0	47.5		47.5			0			0
12.1	FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Payments to the FSN Separation Fund - FNDH	35.5	51.9	87.4	101.9		101.9		51.2	51.2			0	68.1		68.1
12.1	Other FNDH Benefits	11.1		11.1	13.9		13.9	13		13			0	14.4		14.4

Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA		Overseas Mission Budgets														
Org. No: 514		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
12.1	US PSC Benefits			0			0	47.5		47.5			0	49.3		49.3
12.1	FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1	Payments to the FSN Separation Fund - FN PSC		43.8	43.8		60.5	60.5		64.9	64.9			0		70.3	70.3
12.1	Other FN PSC Benefits			0			0			0			0			0
12.1	IPA/Detail-In/PASA/RSSA Benefits			0			0			0			0			0
	Subtotal OC 12.1	46.6	104.7	151.3	115.8	73.5	189.3	108.7	159.8	268.5	0	0	0	131.8	92.6	224.4
13	Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13	FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13	Severance Payments for FNDH			0			0			0			0			0
13	Other Benefits for Former Personnel - FNDH			0	89.4		89.4			0			0			0
13	FN PSCs	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13	Severance Payments for FN PSCs			0			0			0			0			0
13	Other Benefits for Former Personnel - FN PSCs			0		121.9	121.9			0			0			0
	Subtotal OC 13.0	0	0	0	89.4	121.9	211.3	0	0	0	0	0	0	0	0	0
21	Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21	Training Travel	10		10	4	4	8	12	5	17			0	12	6	18
21	Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21	Post Assignment Travel - to field			0			0	2.3		2.3			0			0
21	Assignment to Washington Travel			0	3.7		3.7	2.4		2.4			0			0
21	Home Leave Travel			0			0			0			0	0.4	3.4	3.8
21	R & R Travel	0.1	2.1	2.2			0	0.1	2.3	2.4			0	0.2	2.3	2.5
21	Education Travel			0			0			0			0			0
21	Evacuation Travel			0	1.4		1.4			0			0			0
21	Retirement Travel			0			0			0			0			0
21	Pre-Employment Invitational Travel			0			0			0			0			0
21	Other Mandatory/Statutory Travel	0.1	0.7	0.8	1.3		1.3	0.1	1.2	1.3			0	0.1	0.7	0.8
21	Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21	Site Visits - Headquarters Personnel	4.7		4.7	10		10	11		11			0	7		7

Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA		Overseas Mission Budgets														
Org. No: 514		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
OC		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
21	Site Visits - Mission Personnel	20.1	25.8	45.9	20.7	9.8	30.5	31.8	37.8	69.6			0	32.9	44.2	77.1
21	Conferences/Seminars/Meetings/Retreats	6.6		6.6	8.2		8.2	5	3.8	8.8			0	5	3.8	8.8
21	Assessment Travel			0			0			0			0			0
21	Impact Evaluation Travel			0			0			0			0			0
21	Disaster Travel (to respond to specific disasters)			0			0			0			0			0
21	Recruitment Travel			0			0			0			0			0
21	Other Operational Travel			0	1.5	0.9	2.4	1.5	0.9	2.4			0	1.5	0.9	2.4
Subtotal OC 21.0		41.6	28.6	70.2	50.8	14.7	65.5	66.2	51	117.2	0	0	0	59.1	61.3	120.4
22	Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22	Post assignment freight			0	16.4		16.4	27.9	3.3	31.2			0			0
22	Home Leave Freight			0			0			0			0	2		2
22	Retirement Freight			0			0			0			0			0
22	Transportation/Freight for Office Furniture/Equip.			0			0			0			0			0
22	Transportation/Freight for Res. Furniture/Equip.			0			0			0			0			0
Subtotal OC 22.0		0	0	0	16.4	0	16.4	27.9	3.3	31.2	0	0	0	2	0	2
23.2	Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2	Rental Payments to Others - Office Space			0			0			0			0			0
23.2	Rental Payments to Others - Warehouse Space	8.1		8.1			0	8.5		8.5			0	9		9
23.2	Rental Payments to Others - Residences	22		22	35.4		35.4		60.1	60.1			0		63	63
Subtotal OC 23.2		30.1	0	30.1	35.4	0	35.4	8.5	60.1	68.6	0	0	0	9	63	72
23.3	Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3	Office Utilities			0			0			0			0			0
23.3	Residential Utilities		3.5	3.5			0		8	8			0		9.6	9.6
23.3	Telephone Costs	15.8	15.6	31.4	2.5	22	24.5	0.8	18.3	19.1			0	0.8	20.6	21.4
23.3	ADP Software Leases			0			0			0			0			0
23.3	ADP Hardware Lease			0			0			0			0			0
23.3	Commercial Time Sharing			0			0			0			0			0



Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
23.3	Postal Fees (Other than APO Mail)	0.1		0.1	0.1		0.1	0.1		0.1			0	0.1		0.1
23.3	Other Mail Service Costs		1.8	1.8			0		2.2	2.2			0		2.5	2.5
23.3	Courier Services		1.5	1.5		3.5	3.5		2.3	2.3			0		3	3
	Subtotal OC 23.3	15.9	22.4	38.3	2.6	25.5	28.1	0.9	30.8	31.7	0	0	0	0.9	35.7	36.6
24	Printing and Reproduction		0.2	0.2		0.5	0.5		0.2	0.2			0		0.2	0.2
	Subtotal OC 24.0	0	0.2	0.2	0	0.5	0.5	0	0.2	0.2	0	0	0	0	0.2	0.2
25.1	Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1	Studies, Analyses, & Evaluations			0			0			0			0			0
25.1	Management & Professional Support Services			0			0			0			0			0
25.1	Engineering & Technical Services			0			0			0			0			0
	Subtotal OC 25.1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
25.2	Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2	Office Security Guards		26.4	26.4		35.1	35.1		30.5	30.5			0		38	38
25.2	Residential Security Guard Services			0			0			0			0			0
25.2	Official Residential Expenses			0			0			0			0			0
25.2	Representation Allowances	0.4		0.4	0.5		0.5	0.5		0.5			0	0.5		0.5
25.2	Non-Federal Audits			0			0			0			0			0
25.2	Grievances/Investigations			0			0			0			0			0
25.2	Insurance and Vehicle Registration Fees		1	1		1.4	1.4		1.2	1.2			0		1.4	1.4
25.2	Vehicle Rental			0			0			0			0			0
25.2	Manpower Contracts			0			0			0			0			0
25.2	Records Declassification & Other Records Services			0			0			0			0			0
25.2	Recruiting activities			0			0			0			0			0
25.2	Penalty Interest Payments	0.2		0.2			0	0.2		0.2			0	0.2		0.2
25.2	Other Miscellaneous Services		2.6	2.6		25	25		21.1	21.1			0		28.1	28.1
25.2	Staff training contracts			0		4	4			0			0			0
25.2	ADP related contracts			0			0			0			0			0

Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00 00

Org. Title: USAID/BOGOTA Org. No: 514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
	Subtotal OC 25.2	0.6	30	30.6	0.5	65.5	66	0.7	52.8	53.5	0	0	0	0.7	67.5	68.2
25.3	Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3	ICASS	114.8		114.8	104.8		104.8	114.8		114.8			0	114.8		114.8
25.3	All Other Services from Other Gov't. accounts			0			0			0			0			0
	Subtotal OC 25.3	114.8	0	114.8	104.8	0	104.8	114.8	0	114.8	0	0	0	114.8	0	114.8
25.4	Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4	Office building Maintenance			0			0			0			0			0
25.4	Residential Building Maintenance		3.1	3.1		0.5	0.5		7.8	7.8			0		9	9
	Subtotal OC 25.4	0	3.1	3.1	0	0.5	0.5	0	7.8	7.8	0	0	0	0	9	9
25.7	Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7	ADP and telephone operation and maintenance costs		1.8	1.8		7.2	7.2		4.8	4.8			0		5.5	5.5
25.7	Storage Services			0			0			0			0			0
25.7	Office Furniture/Equip. Repair and Maintenance		0.3	0.3		2.5	2.5		0.5	0.5			0		0.5	0.5
25.7	Vehicle Repair and Maintenance		2	2			0		2.5	2.5			0		3	3
25.7	Residential Furniture/Equip. Repair and Maintenance		0.5	0.5		3.5	3.5		2	2			0		2.5	2.5
	Subtotal OC 25.7	0	4.6	4.6	0	13.2	13.2	0	9.8	9.8	0	0	0	0	11.5	11.5
25.8	Subsistence and support of persons (by contract or Gov't.)			0			0			0			0			0
	Subtotal OC 25.8	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
26	Supplies and materials	0.1	6.6	6.7		8	8		10.8	10.8			0		12.7	12.7
	Subtotal OC 26.0	0.1	6.6	6.7	0	8	8	0	10.8	10.8	0	0	0	0	12.7	12.7
31	Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31	Purchase of Residential Furniture/Equip.		1	1			0		2	2			0		2.5	2.5
31	Purchase of Office Furniture/Equip.		21.1	21.1			0		2	2			0		2.5	2.5

Operating Expenses

SCENARIO PHASING OUT BEYOND 9/30/00    00

Org. Title:    USAID/BOGOTA Org. No:    514 OC		Overseas Mission Budgets														
		FY 1998			FY 1999 Target			FY 1999 Request			FY 2000 Target			FY 2000 Request		
		Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
31	Purchase of Vehicles			0			0			0			0			0
31	Purchase of Printing/Graphics Equipment			0			0			0			0			0
31	ADP Hardware purchases		26	26		2	2		19	19			0		12	12
	Subtotal OC 31.0	0	48.1	48.1	0	2	2	0	23	23	0	0	0	0	17	17
32	Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32	Purchase of Land & Buildings (& construction of bldgs.)			0			0			0			0			0
32	Purchase of fixed equipment for buildings			0			0			0			0			0
32	Building Renovations/Alterations - Office			0			0			0			0			0
32	Building Renovations/Alterations - Residential			0			0			0			0			0
	Subtotal OC 32.0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
42	Claims and indemnities			0			0			0			0			0
	Subtotal OC 42.0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL BUDGET		315.8	499	814.8	525.5	679.3	1204.8	535.5	679.3	1214.8	0	0	0	539.3	675.2	1214.5
	Dollars Used for Local Currency Purchases	<u>81.3</u>			<u>160.5</u>			<u>85.9</u>			_____.			<u>94.5</u>		
	Exchange Rate Used in Computations	<u>1350</u>	<u>1350</u>		<u>1550</u>	<u>1550</u>		<u>1550</u>	<u>1550</u>		_____	_____		<u>1780</u>	<u>1780</u>	

## USAID FY 2000 BUDGET REQUEST BY PROGRAM/COUNTRY

21-Jul-98  
12:34 PMCountry/Program: USAID/COLOMBIA  
Scenario: Base Level

Approp. Acct	Bilateral/Field Support	Est. SO Pipeline End of FY 99	Estimated Total	FY 2000										Est. Expend. FY 00	Est. Total Cost life of SO	Future Cost (POST 2000)	Year of Final Oblig.
				Basic Education	Agric.	Other Growth	Pop	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G				
SO1	ESF	Bilateral	0	38,000	0	0	0	0	0	0	0	0	0	4,600	37,000	0	1,999
		Field Spt	0	0													
		Total	0	38,000	0	0	0	0	0	0	0	0	0			0	
	INC	Bilateral	0	1,800	0	0	0	0	0	0	0	0	0	2,000	10,000	0	2,002
		Field Spt	0	0													
		Total	0	1,800	0	0	0	0	0	0	0	0	0			0	
SpO1		Bilateral	50	666	0	0	0	0	0	0	0	250	0	250	666	0	2,000
		Field Spt										0	0			0	
		Total	50	666	0	0	0	0	0	0	0	250	0			0	
		Bilateral		0								0				0	XX
		Field Spt		0												0	
		Total	0	0	0	0	0	0	0	0	0	0	0			0	
		Bilateral		0												0	XX
		Field Spt		0												0	
		Total	0	0	0	0	0	0	0	0	0	0	0			0	
		Bilateral		0												0	
		Field Spt		0												0	
		Total	0	0	0	0	0	0	0	0	0	0	0			0	
		Bilateral		0												0	
		Field Spt		0												0	
		Total	0	0	0	0	0	0	0	0	0	0	0			0	
Total Bilateral	7,000		47,250	0	0	0	0	0	0	0	0	250	0			0	
Total Field Support			0	0	0	0	0	0	0	0	0	0	0			0	
<b>TOTAL PROGR.</b>	<b>7,000</b>		<b>47,250</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>250</b>	<b>0</b>			<b>0</b>	

<b>FY 2000 Request Sector Totals -- DA</b>			
Econ Growth		0	
[Of which Microenterpris			
HCD		0	
PHN		0	
Environment	250		
[Of which Biodiversity]			
Democracy		0	
Humanitarian		0	

<b>FY 98 Request Sector Totals -- ESF</b>			
Econ Growth		0	
[Of which Microenterprise]			
HCD		0	
PHN		0	
Environment	250		
[Of which Biodiversity]			
Democracy		0	
Humanitarian		0	

FY 2001 Target Program Level	0
FY 2002 Target Program Level	0
FY 2003 Target Program Level	0

Program Funding

USAID FY 1999 Budget Request by Program/Country

21-Jul-98  
12:34 PM

Country/Program: USAID/COLOMBIA  
Scenario: Base Level

S.O. # , Title				FY 1999													Future Cost (POST 2000)		Year of Final Oblig.
	Approp. Acct	Bilateral/Field Support	Est. SO Pipeline End of FY 98	Estimated Total	Basic Education	Agric.	Other Growth	Pop	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G	Est. Expend. FY 99	Est. Total Cost life of SO			
SO1	ESF	Bilateral	3,000	38,000	*										2,000	37,000	0	1,999	
		Field Spt		0															
	Total		3,000	38,000	0		0	0	0	0	0	0	0	0			0		
	INC	Bilateral	1,200	1,800											2,000	10,000	0	2,002	
		Field Spt		0															
	Total		1,200	1,800	0		0	0	0	0	0	0	0	0			0		
SpO1		Bilateral	65	666									250		269	666	0	2,000	
		Field Spt		0													0		
	Total		65	666	0		0	0	0	0	0	0	250	0			0		
		Bilateral		0									0				0	XX	
		Field Spt		0															
	Total		0	0	0		0	0	0	0	0	0	0	0			0		
		Bilateral		0													0	XX	
		Field Spt		0															
	Total		0	0	0		0	0	0	0	0	0	0	0			0		
		Bilateral		0													0	XX	
		Field Spt		0															
	Total		0	0	0		0	0	0	0	0	0	0	0			0		
		Bilateral		0													0		
		Field Spt		0															
	Total		0	0	0		0	0	0	0	0	0	0	0			0		
		Bilateral		0													0		
		Field Spt		0															
	Total		0	0	0		0	0	0	0	0	0	0	0			0		
Total Bilateral			4,265	40,466	0		0	0	0	0	0	0	250	0					
Total Field Support			0	0	0		0	0	0	0	0	0	0	0					
TOTAL PROGRAM			4,265	40,466	0		0	0	0	0	0	0	250	0			0		

<b>FY 1999 Request Sector Totals -- DA</b>	
Econ Growth	0
[Of which Microenterpris	0]
HCD	0
PHN	0
Environment	250
[Of which Biodiversity]	0]
Democracy	0
Humanitarian	0

<b>FY 1999 Request Sector Totals -- ESF</b>	
Econ Growth	0
[Of which Microenterprise]	0]
HCD	0
PHN	0
Environment	0
[Of which Biodiversity]	0]
Democracy	0
Humanitarian	0

FY 2001 Target Program Level	0
FY 2002 Target Program Level	0
FY 2003 Target Program Level	0

\* 1 million received from ARA for each FY 98 and FY 99

Program Funding

USAID FY 1998 Budget Request by Program/Country

21-Jul-98  
12:34 PM

Country/Program: USAID/COLOMBIA  
Scenario: Base Level

S.O. # , Title	FY 1998																Future Cost (POST 2000)	Year of Final Oblig.
	Approp. Acct	Bilateral/Field Spt	Est. SO Pipeline End of FY 97	Estimated Total	Basic Education	Agric.	Other Growth	Pop	Child Survival	Infectious Diseases	HIV/AIDS	Other Health	Environ	D/G	Est. Expend. FY 98	Est. Total Cost life of SO		
SO1	ESF	Bilateral	6,600	37,000											4,600	37,000	0	1,999
		Field Spt		0													0	
	Total		6,600	37,000	0	0	0	0	0	0	0	0	0	0			0	
SO1	INC	Bilateral		1,800											1,000	10,000	0	2,002
		Field Spt		0													0	
	Total		0	1,800	0	0	0	0	0	0	0	0	0	0			0	
SpO1		Bilateral		0													0	XX
		Field Spt	166	666											101	666	0	2,000
	Total		166	666	0	0	0	0	0	0	0	0	0	0			0	
		Bilateral		0									0				0	XX
		Field Spt		0													0	
	Total		0	0	0	0	0	0	0	0	0	0	0	0			0	
		Bilateral		0													0	XX
		Field Spt		0													0	
	Total		0	0	0	0	0	0	0	0	0	0	0	0			0	
		Bilateral		0													0	
		Field Spt		0													0	
	Total		0	0	0	0	0	0	0	0	0	0	0	0			0	
Total Bilateral			6,600	38,800	0	0	0	0	0	0	0	0	0	0			0	
Total Field Support			166	666	0	0	0	0	0	0	0	0	0	0			0	
<b>TOTAL PROGRAM</b>			<b>6,766</b>	<b>39,466</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	

<b>FY 1998 Request Sector Totals -- DA</b>	
Econ Growth	0
[Of which Microenterpris	0
HCD	0
PHN	0
Environment	0
[Of which Biodiversity]	0
Democracy	0
Humanitarian	0

<b>FY 1998 Request Sector Totals -- ESF</b>	
Econ Growth	1,000
INC	2,000
[Of which Microenterprise]	0
HCD	0
PHN	0
Environment	0
[Of which Biodiversity]	0
Democracy	0
Humanitarian	0

FY 2001 Target Program Level	0
FY 2002 Target Program Level	0
FY 2003 Target Program Level	0

Program local currency trust funds will be available only through FY/99  
and are being provided as follows:

SO 1 \$541,500 FY/98, \$276,600 FY/99 and zero thereafter. SpO 1 FY/98 \$708,000; FY/99 \$115,000 and zero thereafter.

\* 1 million received from ARA for each FY 98 and FY 99